

**{PRIVATE }APPENDIX B: QUESTIONNAIRE{tc \l 1 "APPENDIX B\:  
QUESTIONNAIRE"} - PROCESS SECTION**

The *Process* Section describes the SACWIS systems conformance with program requirements derived from statute and regulation. The questions in this section are derived from the SACWIS Action Transmittal (AT) No. ACF-OISM-001, dated February 24, 1995. The numbering of this Questionnaire conforms to that of the AT.

Functions marked with an "\*" are mandatory. Any function identified in the regulation as "optional" *but for which the State was approved funding becomes mandatory with APD approval.*

In the Questionnaire below, the State must describe how the automated system meets SACWIS functions. In addition, space is provided for the State to cite reference sources (such as the Users' Manual) and to cross-reference screens, Reminders/ticklers, Documents and reports. For example, reporting requirements should be cross-referenced to the enclosed list of reports. Note that multiple citations may be required for a single question. See Chapter III of the SACWIS Review Guide for instructions on how to complete this section of the Questionnaire.

**Document Control**

<b>{PRIVATE }Date State Submitted the Questionnaire to ACF:</b>	<b>2/1/99</b>
<b>Name of State Official that Submitted the Questionnaire:</b>	<b>Mia James</b>
<b>Date Last Update by State:</b>	
<b>Date of Review by ACF:</b>	<b>17 - 27 August 1999</b>
<b>Date of Final Report (ACF):</b>	

**Part B of Questionnaire:**

**{PRIVATE }B. I: Intake Management**

This function consists of processing referrals, conducting an investigation, and assessing the need for service.

Goal: Through the effective and efficient use of automation, provide for the administration of the processes necessary to ensure that the child welfare services (CWS) agency can respond to those who seek, are referred, or are reported to the agency through the proper identification of the individuals and provision of appropriate assessment procedures.



**A: Intake**

Goal: To provide an automated entry point into the child welfare services agency for children and families who seek services, are referred for services, and/or who are reported to the agency.


**1.(1) Record contact/referral \*** — Describe how the automated system records initial contacts regarding allegations of abuse or neglect, and/or provides for the input of a formal referral for protective services, voluntary placement services, juvenile corrections and other services.

*State Response:*

**Upon receiving an allegation of abuse or neglect, the State worker creates a new referral:**

Step	CWS/CMS	Action
2.1.2	<b>Start CWS/CMS</b> 	1. Click the <b>Client Services</b> icon.
2.1.3	<b>Create New Referral Folder</b> 	1. Click the <b>New (+) Referral Folder</b> . 2. Click the <b>Referral Management Section</b> button (green). 3. Complete pages: <b>ID (CS.Ref+.g.primary pages.2), Reporter (CS.Ref+.g.primary pages.3)</b> 4. <u>Common Address</u> is the address for the family in the referral. 5. Use the <i>Screeners Alerts</i> field to document the information from the Reporting Party.

**If there is an allegation, child caseworker opens a new allegation.**

2.1.7	<b>Create New Allegation Notebook</b> 	1. Click the <b>Referral Management Section</b> button (green). 2. Click the <b>New (+) Allegation Notebook</b> . 3. Complete the page: <b>ID (CS.Ref.g.alligation.1).</b> <b>Notes:</b> <ul style="list-style-type: none"> <li>There needs to be an <b>Allegation</b> Notebook for each allegation for each victim by each perpetrator.</li> </ul>
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**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
<b>Placer User Manual (PUM) 2.1</b>	<b>CS.Ref+.g.primary pages.2</b>	<b>#8, ,12, 18, 25</b>	<b>SD_REFFERAL #4</b>	<b>SR_REFERRAL #3</b>
	<b>CS.Ref+.g.primary pages.3</b>			
	<b>CS.Ref.g.alligation.1.</b>			


<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
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ACF Comments
<p><b>Observation</b></p> <p>The State is congratulated on its efforts to provide aids to staff, such as the Zippy Referral Wizard and the ability to link multiple referrals of the same allegation.</p>

**2.(2) Collect intake/referral information \*** — Describe how the automated system allows for input of available situation and demographic information, including the cross-referencing of relationships among participants and the reason for referral.

*State Response:*

Once the referral pages have been filled out (and a search has been performed (ACF section3.3)), the child caseworker creates a new client for each person mentioned in the referral:

Step	CWS/CMS	Action
2.1.6	Create New Client Notebook  	<ol style="list-style-type: none"> <li>Click the <b>Client Management Section</b> button (blue).</li> <li>Click the <b>New (+) Client</b> Notebook.</li> </ol> Complete the pages: <b>ID (CS.Ref.b.client.2)</b> <b>Demographic (CS.Ref.b.client.3)</b> <b>Address (CS.Ref.b.client.4)</b> Enter the birth date, primary language and ethnicity of the client. On the Address <ol style="list-style-type: none"> <li>After you have all Clients' <b>Notebooks</b> entered, complete the page:  <b>Related Clients (CS.Ref.b.client.6)</b> in all the Client Notebooks. Use <i>unknown/unknown</i> when you do not know the relationship.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>If demographic information is not available at the time of referral, it must be added when the referral becomes a case.</li> </ul>

All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 2.1	CS.Ref.b.client.2	#25 (reminder for each new client)		
	CS.Ref.b.client.3			
	CS.Ref.b.client.4			
	CS.Ref.b.client.6			

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>The Review Team was informed that a county's funding allocation is partially determined by the number of referrals it processes. This practice has resulted in duplicate data entry, due to entry of multiple referrals on the same individual, family or case. If the social worker learns of a new allegation while investigating the original referral, the practice is to take a new report rather than add an allegation to the existing referral.</p> <p><b><u>Recommendation</u></b></p> <p>The State should examine ways to avoid duplicative data entry, and implement procedures that are efficient, effective, and economical.</p> <p><b><u>Observation</u></b></p> <p>The State is congratulated on its efforts to provide automated aids within CWS/CMS, such as automatic creation of reciprocal person relationships.</p>						

**3.(3) Search for prior history (persons/incidents) \*** — Describe how the automated system searches the database(s) to check for prior incidents and other available information. For a single incident, does the system allow for multiple reports of an incident by including information on each individual or agency making a report?

*State Response:*

**Prior to creating a new client for each person in the referral, the child caseworker searches the CWS/CMS database for any possible matches on each person.**

Step	CWS/CMS	Action
2.1.4	Conduct Client Search	<ol style="list-style-type: none"> <li>Click the <b><u>Search</u></b> Menu drop down. Click the <b>Start Search</b> command.</li> <li>In the <b>Search Type</b> drop down, click <b>Client</b>.</li> <li>In the Search Dialog Box, enter search criteria. Use the first and last name. Tab to end of each row on which data is entered to mark with red check (✓) so that CWS/CMS can recognize the criteria. When all criteria has been entered, click <b>OK</b>.</li> <li>If record is found, <i>double-click</i> on the desired client to open the Client Abstract. Review/compare the information on the client. If desired client is found, go to Step 2.1.5</li> <li>If record is not found, look at the <i>Status</i> field. Read the last few lines in the box. If the Result is "No Hits" you might have been too restrictive in the search. If the result is "too many hits" you need to be more restrictive in your search. Search two more times using wild card search, then other information. Click the <b><u>Search</u></b> Menu drop down. Click the <b>Search Again</b> command. Remove the red check (✓) next to some of the criteria by clicking it once. Click <b>OK</b>.</li> <li>If record still not found, go to Step 2.1.6.</li> </ol> <p><b>Notes:</b></p>

		<ul style="list-style-type: none"> <li>If there is more than one client abstract for the same client, then the duplicate clients should be merged. See Step 2.6.2.</li> </ul>
2.1.5	Attach Existing Associated Client(s)	<ol style="list-style-type: none"> <li>Click the <b>Attach</b> menu drop down. Click the <b>Attach Existing Client</b> command.</li> <li>In the <b>Item to Attach</b> drop down, click <b>Client</b>.</li> <li>In the <b>For this Referral or Case</b> grid, click the referral to which the associated client(s) will be attached.</li> <li>In the <b>Attach this Client</b> grid, click the <b>Client(s)</b> to be attached. Click <b>OK</b>.</li> <li>Click the <b>Client Management Section</b> icon (blue).</li> <li>Click the <b>Existing Client</b> notebook(s).</li> </ol>

If there are multiple reports of a single incident, the State inputs an associated referral.

- Associated Referrals are two referrals about the same instance of abuse, generally from different reporters.
- Before completing these steps, make sure all appropriate clients have been merged and attached as needed. This means that if Joe Victim and John Dad are the only clients in the referrals, when you search for Joe Victim or John Dad, the Referral History Page of the Client Abstract has them listed in both referrals.
- Associating the two referrals allows you to work in the primary referral with CWS/CMS automatically updating the secondary referral. The advantages are that you are able to send CWS/CMS generated Mandated Reporter letters to both reporters and enter your work in only one referral.

Add a referral as described in ACF 1.(1). From the drop down menu, you can “Add Associated Referral”.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 2.1	CS.Ref.g.primary pages.2			

{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				

**Finding**

CWS/CMS contains a rich search facility. However, the review team observed that the search functionality was not working correctly at all times. The search functionality does not return consistent results every time it is used. The review team was shown examples of searches where, using the same search criteria, CWS/CMS returned different results.

**Requirement**

This critical problem must be corrected. The State indicated that it was aware of the problem, but has been unable to determine the cause. The State must provide additional information regarding its efforts and success of correcting this software problem in the SARG. The information should be added to the State's response.

**Finding:**

The prior history search provides multiple ways to search the CWS/CMS database for individuals. However, since performing historical search is neither mandatory nor enforced, the opportunity for creating duplicate entries is very high. Additionally, there is no indication to a worker that a search has not been done.

**Recommendation:**

The real value of the search function is its ability to minimize the opportunity for the entry of duplicate people and cases, and provide information on prior involvement of all identified parties. The system does not identify if a search was completed on individuals being added to the system. We observed in all reviewed counties that the search process is conducted by different units and at different points. We recommend that the State consider adding an edit that will prevent a referral from progressing to a case status until a search of all identified individuals has been completed.

**Finding**

If two or more referrals are recorded on the same incident, the system allows them to be linked. One of the referrals is identified as the primary referral and the others are secondary. All future work is suppose to be completed in the primary case, however, it is possible to record case actions in the secondary referral.

**Recommendation**

We recommend that the State add an edit that will identify when a worker starts to work in a secondary referral, rather than the primary referral.

State Draft Response Dated 2/1/00

As the state indicated during the system review, search functionality is being continually enhanced. For the past two years, CWS/CMS has had an ongoing search users group that meets via a monthly conference call. This conference call is open to all counties. The issue of inconsistent search results was first identified several months ago in the call. One of the requirements for successful problem determination is the ability to replicate the problem. However, no tickets with the necessary data were opened on the issue so that they could be thoroughly researched. Some counties reported that the search results would vary dependent on whether the input criteria were in capital letters or not. The way that the criteria are processed at the host would prevent this from occurring. After the reports in the conference call, a programmer reviewed the DB2 records on a few instances that were verbally noted and found that the user had slightly altered the search criteria each time. The issue was last discussed at the September 1999 conference call.

Recently it was determined that inconsistent search results may originate from workstation code that sorts the results differently depending on the case (upper case or lower case) of the data entered. The issue will be corrected after 4.1 with a change to the workstation code that eliminates any case sensitivity. In addition other workstation processing code which sorts results based on a phonetic name search will also be corrected. The 4.2 release is scheduled to add an additional improvement with the implementation of phonetic search on address.

Problems with search are being monitored via the user group and search problems will continue to be remedied when the causes of the problems are found.

State Draft Response Dated 11/01/00

A change to workstation processing code in September, 1999 (Release 4.0) eliminated many sorting errors and inconsistent search results by adding processing at the workstation that converts all search data to upper case characters. Previously data was sorted using a hierarchy in which upper case results were followed by lower case results. When search queries were created using a combination of upper and lower case characters or with all lower case characters (which usually occurs when users rapidly enter data), the results were arranged in a different order. Now, an extra processing step at the workstation converts all search queries to upper case, eliminating inconsistency in the display of results.

Additional improvements pertaining to search were made in June 2000 (Release 4.1). Users have long requested that search results be scored based on the likelihood that each item returned met the search criteria. The change made in June 2000 allows results to be sorted by order of score, so that results with the highest likelihood of matching the query are placed at the top of the returned list, and the rest are sorted in order to the least likely. Previously, search results were returned in alphabetical order.

A second change made in June 2000 results in reducing the number of duplicated education providers (teachers and others associated with educational facilities). A maximum number of fifty education providers was able to have been returned on a query. The maximum has increased to 200. Large counties requested this change to the search results screen. As noted previously, whenever problems related to the search capabilities of CWS/CMS are identified, changes will be made to the code supporting this important functionality.

The State of California requests that this issue be closed. Whenever problems related to search capabilities of CWS/CMS are identified, changes will be made to the code supporting this important functionality.

**4.(4) Record "information only" requests** — Describe how the automated system records calls or contacts which do not involve a specific allegation or referral.

*State Response:*

**A call that does not involve a specific allegation can be handled in the same way as a specific allegation/referral. A new referral is created. Upon review of this new referral, it may be “evaluated out” but is still in the system.**

**If in the future, a specific allegation/referral is called in, you should do a “Search for Client”. This search should result in retrieving the client of the unspecified allegation. This evaluated out allegation/referral can be associated with the new allegation by “Attaching Existing Client”.**

**When a referral is entered in error or would be better handled by another agency, the child caseworker can enter an “Information and Referral” (CLIENT SERVICES application,**

New Referral folder, Action Menu item “Information and Referral”. The dialog box (below) comes up. This lets the child caseworker permanently delete the referral in focus from the CWS/CMS database along with that referral’s clients not previously in the database (i.e., clients associated to another case or referral will NOT be deleted from the database).

Type of “Agency Referred To” is the public or private agency to which you want to forward this referral. Select the one you want. The CWS/CMS selections for this field are:

- Adoption
- AIDS/sexually transmitted diseases
- Battered women/sexual assault
- Birth control/pregnancy counseling
- Child Care
- Chronic and Terminal Illness
- Counseling/mental health/emotions
- Death & dying support
- Dental Care
- Drug/alcohol/tobacco addictions
- Eating
- Emergency assistance/food/clothes, etc.
- Handicapped/special education/disabled
- Health Associations
- Homeless
- Hospitals
- Housing
- Law Enforcement
- Licensing
- Medical assistance/health
- Nutrition
- Other socio -health subjects
- Parenting resources/education
- Runaway/homeless
- Teenage parent programs
- Transportation
- Youth high risk/gangs
- Entered in Error
- Healthy Start
- Not Referred
- Other



All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b>Observation:</b></p> <p>Information only types of requests can be entered into the system. However, our understanding is that the counties do not use this capability. Review team members were told that screeners don't enter the information if they know it is not a child welfare issue.</p>						


## B: Screening

Goal: To provide an automated mechanism that identifies the potential danger or harm to the children involved in a reported incident of abuse or neglect and determines whether the agency will be able to respond to the needs of children and families.

**1.(5) Evaluate intake information \*** — Describe how the automated system supports the evaluation of the available information to determine the necessity of establishing a case.

*State Response:*

**CWS/CMS has a “Determine Response” pop-up screen that gives the child caseworker guidelines for evaluation of the requisite response.**

Step	CWS/CMS	Action
2.1.8	Open Existing Referral Folder 	<ol style="list-style-type: none"> <li>1. Click the <b>Referral</b> Folder.</li> <li>2. The <b>Select Item to Open</b> drop down will default to <b>Referral</b>.</li> <li>3. In the <b>Open this Referral</b> grid, click the <b>desired Referral</b>.</li> </ol>
2.1.9	Assign Worker to Immediate Referrals	<ol style="list-style-type: none"> <li>1. Click the <b>Assignment</b> Page. (<b>CS.Ref.primary pages.4</b>)</li> <li>2. Click the (+) and add a primary assignment to the worker who will investigate the referral by clicking Primary as the Responsibility and complete the yellow fields.</li> </ol>
2.1.10	Determine the Response to the Report	<ol style="list-style-type: none"> <li>1. With the Referral “in focus” click the <b>Action</b> Menu drop down. Click the <b>Determine Response</b> command.</li> <li>2. In the <b>Response Guideline</b> grid, answer the seven questions.(see below)</li> <li>3. In the <b>Decision</b> drop down, click the appropriate response time.</li> <li>4. If <b>Decision</b> is <b>Evaluate Out</b>, click the appropriate agency in the <b>Agency Referred To</b> drop down.</li> <li>5. Enter <b>Rationale</b> for response time as appropriate. This field is mandatory when evaluating out.</li> <li>6. Click the <b>Approval</b> button in upper right corner of Determine Response dialog box.</li> <li>7. In the <b>Approval Status</b> drop down, click <b>Pending Approval</b>.</li> <li>8. <b>Action Date</b> and <b>Time</b> will automatically use current date and time; you can type in other date or time if needed. Click <b>OK</b>.</li> <li>9. System will switch into Word to print the <i>Emergency Response Referral Document</i>.</li> </ol>

**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 2.1	CS.Ref.primary pages.4		SD_REFERRAL #1, 2, 3	

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				

**2.(6) Record the results of the screening evaluation \*** — Describe how the automated system provides for the recording of the determination resulting from the screening process.

*State Response:*

As stated above, the “Emergency Response Referral Document” is generated any time there is a determination of a referral. Also, the “Determine Response” risk assessment guideline remains in the referral notebook.

**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
			SD_REFERRAL #4	

{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<p><b><u>Finding</u></b></p> <p>The Review Team was informed that supervisors in one county required their staff to complete a paper “SE-22” as check against the data previously entered into the system.</p> <p><b><u>Requirement</u></b></p> <p>Such duplicate data recording does not conform to SACWIS requirements. Users should only record data once, that being into CWS/CMS. Any paper processes that act as redundant confirmations of data contained in CWS/CMS must be eliminated.</p> <p><b><u>Finding</u></b></p> <p>The supervisor approves caseworker’s findings. If the supervisor requests changes in the social worker’s initial findings, a new Emergency Response Referral Document is generated and the old document is deleted. The deletion of any document could be a problem if there is a need to assess the agency’s original response to a report.</p> <p><b><u>Recommendation</u></b></p> <p>In order to preserve the history and integrity of the electronic case record, the system should retain all versions of documents, including the Emergency Response Referral Documents.</p>				

State Draft Response Dated 2/1/00

The state concurs with the finding that duplicate data entry may result in compromising the data in CWS/CMS. The state did not have any previous knowledge of the county-based SE-22 form and does not know which county is using the form. The state has never advocated the use of alternate processes. The state shares the concern that workers should not be required to perform

duplicate work. There are very few instances where a local form may be used in addition to CWS/CMS: data validation checks and local service programs.

For several months, including the period of the federal review, the State has been transitioning to determining allocations to counties using CWS/CMS. Some counties, concerned that the allocation may be counted incorrectly, were using paper processes for a temporary period to compare to the data in CWS/CMS reports. This process was part of a statewide effort to work with counties who were concerned about processing errors in the complex allocation program. All workers may not have been aware of this effort. Counties have reviewed allocation formulas and appear to be convinced that the counts produced by CWS/CMS are correct.

Another instance of using a local form may be as a result of an internal process which is not used statewide. For example, a county may have local programs to provide services to particular groups of clients. A state of the size and diversity of California must pilot new programs prior to implementing them statewide. Sometimes local forms are used to alert certain units or workers that a new case or referral which fits a local service profile is in the system. It is not possible to provide for local variances in the SACWIS. The State of California is willing to work with ACYF on technical assistance in order to ensure that the data in CWS/CMS is not compromised.

Provided the ACYF identify the county using the SE-22 form, the state is planning to investigate to find the county using the form mentioned in order to determine the reason for its use.

State Draft Response Dated 11/01/00

The State shares the goal of eliminating duplicate data entry in CWS/CMS and will continue to promote efficient utilization of the system. The State did not have any previous knowledge of the county form cited by federal staff and does not know which county is using the form. The State has never advocated the use of alternate processes and agrees that workers should not be required to perform duplicate work. There are very few instances where a local form could be used efficiently as a supplement to CWS/CMS, with data validation checks and local service programs being two possible exceptions.




For several months, including the period of the federal review, the State has been transitioning to a Child Welfare Services allocation methodology using CWS/CMS data. Some counties, concerned that the allocation may be counted incorrectly, were using paper processes for a temporary period to compare to the data in CWS/CMS reports. This process was part of a statewide effort to work with counties who were concerned about processing errors in the complex allocation program. All workers may not have been aware of this effort. Counties have reviewed allocation formulas and are convinced that the counts produced by CWS/CMS are correct.

While the State and ACF agree that some paper is necessary, due to the varying business requirements of individual counties, for intake, case contact and assignment of emergency investigations, the State also agrees with the position that CWS/CMS generated documents should be the "official case record". However, State law and regulations must support this mandate issue too. State staff are currently analyzing this. The State has taken both budgetary and statutory steps to assure full utilization of the CWS/CMS. While the majority of counties use CWS/CMS for their new and existing cases, the new policy requires complete application usage on all new cases and for existing cases as they come up for their next review. All AFCARS-related data will be completed as well. CDSS has worked collaboratively with members from the County Welfare Directors Association and with labor groups representing social workers in reaching an agreement in the definition of full utilization and all functional areas within the system that are to be utilized. CDSS will continue to provide leadership on CWS/CMS by encouraging counties to use CWS/CMS. One way of doing this is through regular meetings with state and county managers and the second is full utilization. The State of California is willing to work with ACYF on technical assistance in order to ensure that the data in CWS/CMS is not compromised or duplicated.


**3.(7) Establish case record \*** — Describe how the automated system provides for the establishment of a new case, the association of a new allegation with an existing open case, or the re-opening of a closed case.

*State Response:*

To establish a new case, a referral must have been opened, investigated and a disposition made that a new case should be opened. In the process of opening a new case, the referral is closed. To close a referral you must have completed an in-person contact with the victim(s). The “Client Disposition” command is used to promote a referral to a case or to end Child Welfare Services involvement.

Step	CWS/CMS	Action
2.5.1	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
2.5.2	Open Existing Referral Folder 	1. Click the <b>Existing Referral Folder</b> Notebook. 2. The <b>Select Item to Open</b> drop down will default to <b>Referral</b> . 3. In the <b>Open this Referral</b> grid, click the <b>desired referral</b> . Click <b>OK</b> .
2.5.3	Create New Contact Notebook to Record Investigation of Referral 	1. Click the <b>Services Management Section</b> button ( <b>orange</b> ). 2. Click the <b>New (+) Contact</b> Notebook. 3. In the <b>Select On Behalf of Child</b> grid, click the <b>desired child</b> . Click <b>OK</b> . 4. Complete the <b>Contact Page (CS.Ref.o.contact.1)</b> . Include status, purpose and participants involved in the contact. To close the referral you must have completed an <i>in person</i> contact with the victim(s). The <i>Contact Party Type</i> field <u>must</u> include <b>Staff Person/Child</b> . The Contact Purpose must be <i>Investigate Referral</i> . 5. If you provided services during the contact, complete the <b>Associated Services Page (CS.Ref.o.contact.2)</b> . Click the (+) button in the upper left corner of the Associated Services grid. Complete all mandatory fields.  <b>Notes:</b> <ul style="list-style-type: none"> <li><b>Contact</b> Pages must be completed before <b>Associated Services</b> and <b>Associated Visits</b> Pages can be completed.</li> </ul>

Step	CWS/CMS	Action
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2.5.9	Perform Client Disposition and Request Approval  	<ol style="list-style-type: none"> <li>1. Re-open the Referral.</li> <li>2. Open the existing allegation and fill out the <b>Conclusion</b> page (<i>date field</i> and <i>allegation conclusion field</i>, either substantiated or unsubstantiated.) (<b>CS.Ref.g.alligation.2</b>).</li> <li>3. Click the <b>Action</b> Menu drop down. Click <b>Client Disposition</b> command.</li> <li>4. The <b>Item to Select</b> drop down will default to <b>Client</b>.</li> <li>5. In the <b>For this Referral</b> grid, click the <b>desired referral</b>.</li> <li>6. In the <b>Select this Client</b> grid, click the <b>desired client</b>. Click <b>OK</b>.</li> <li>7. In the <i>Closure Reason Date field</i>, click the closure reason date.</li> <li>8. In the <i>Closure Reason field</i>, click the closure reason.</li> <li>9. Enter the <b>Rationale</b> for closure as appropriate.</li> <li>10. Click the <b>Approval</b> button.</li> <li>11. In the <b>Approval Status</b> drop down, click <b>Pending Approval</b>.</li> <li>12. Click an <b>Action Date</b> if different.</li> <li>13. Click <b>OK</b>.</li> <li>14. Repeat Steps 5-12 for all victims in this Referral. Then click <b>Cancel</b> in the Select Notebook Dialog Box.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• The Client Disposition command is used to promote a referral to a case or to end Child Welfare Services involvement.</li> <li>• A Client Disposition cannot be performed for a client until all allegations involving the client are concluded on the <b>Conclusion</b> Page (<b>CS.Ref.g.alligation.2</b>) in each Allegation Notebook.</li> </ul>
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To associate a new allegation with an existing open case, you must conduct a client search as called out in 3.(3) above. Open the existing case, create a new referral and then attach through the command “Attach Existing Client”.

If a case needs to be re-opened, open new Case folder. Then click on the Action menu and select the “Reopen Closed Case” drop-down.

All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 2.5	CS.Ref.o.contact.1	#7		
	CS.Ref.o.contact.2			
	CS.Ref.g.alligati on.2			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
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ACF Comments
<p><b><u>Finding</u></b></p> <p>While the system allows staff to add a new referral to an open report or case, staff reported that in practice the new referral is taken as a new report. This has an impact on their caseload numbers and as a result, it increases the counties funding allocation. This practice causes additional work as staff re-enter information in the “new referral.”</p> <p><b><u>Recommendation</u></b></p> <p>The State is encouraged to examine ways to minimize the incentive to create duplicate new referrals.</p>

**4.(8) Assign case to worker\*** — Describe how the automated system supports and records the assignment of the case to a worker and provides for the tracking of that case through the process.

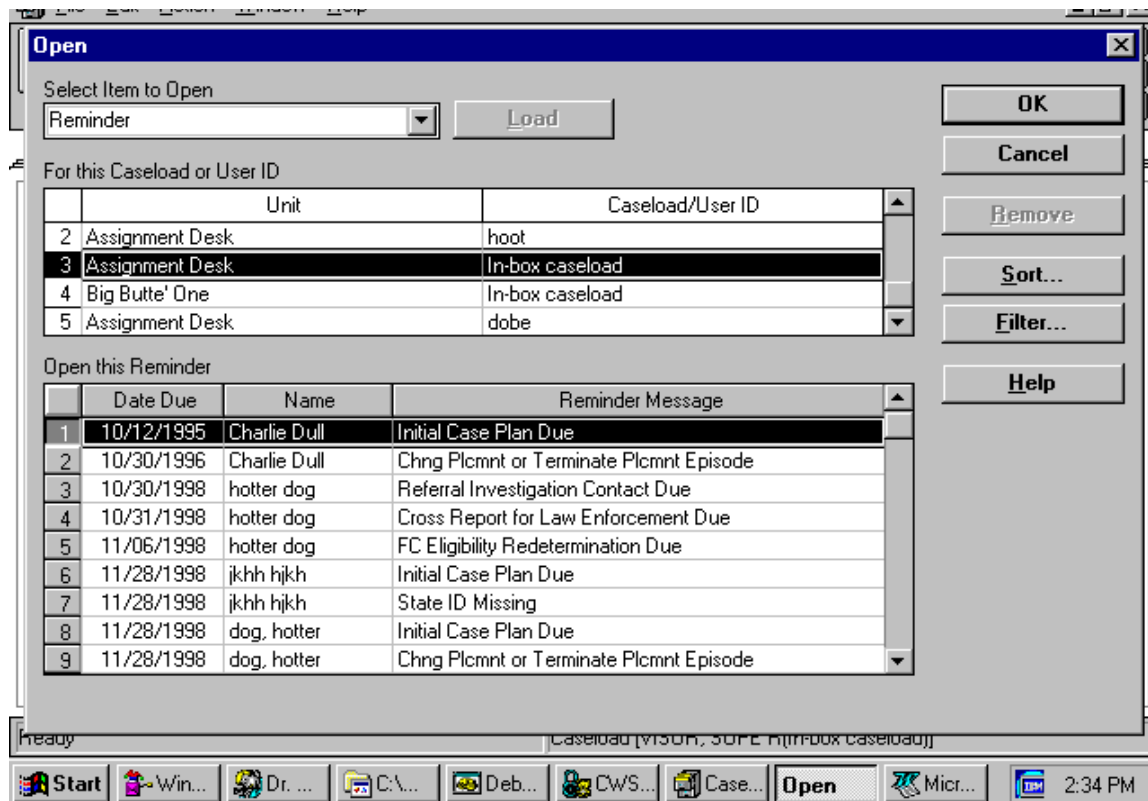
*State Response:*

To assign a child welfare worker to a case, the unit supervisor goes to either Referral or Case primary pages and selects the caseworker to be assigned. (CS.Ref.g.primary pages.4 or CS.Case.g.primary pages.3)

The supervisor can track a child welfare worker’s caseload by opening the CASELOAD application and open the caseload notebook. “Select Item to Open” = Caseload, and select a Unit/Caseload to open. This takes you to the Summary page (C.caseload.1).

The supervisor can track the status/reminders of a case by viewing the case reminders. This is done by opening the CASELOAD application, click the Caseload notebook. “Select Item to Open” = Reminder (see below).





All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref.g.primary pages.4	#1-16		
	CS.Case.g.primary pages.3			
	C.caseload.1			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<p><b>Finding</b></p> <p>The system is capable of assigning a case to a worker. However, there was evidence that this system function is not being used as intended and uniformly throughout the State. Staff in one county office reported that case assignments were made using Microsoft Excel, the use of which was external to</p>				

CWS/CMS. Another office used a large “whiteboard” to track assignments of new reports. If the assignment was made to a worker in a different location, the report was faxed to the different location. When the assignment was made, the receiving office would call the “Hot Line” to inform the intake worker to whom the case had been assigned.

**Requirement**

The State must ensure that workers are thoroughly trained in the use of the system, so that this mandatory CWS/CMS functionality is used as intended and uniformly throughout California.

State Draft Response Dated 2/1/00

The Governor’s Budget appropriates funds to all counties to provide ongoing CWS/CMS training with a statewide CWS/CMS curriculum. The CWS/CMS training curriculum was developed with input from all regions of the state, and all counties use the curriculum either through county training, or through vendor training. Training courses are offered according to the type of user. The New User training focuses on the basics of CWS/CMS; Intermediate/Advanced training focuses on the more difficult tasks in CWS/CMS; Supervisor/Manager training focuses on the supervisory process, approvals, and management reports; Advanced Trainer/Mentor training focuses on all aspects of CWS/CMS to enable the user to assist other users; and the Database training focuses on extraction and interpretation of caseload data.

The Supervisor/Manager training course provides instruction on the use of the Caseload Notebook. Specifically, the Caseload module teaches the user how to: assign cases; change primary/secondary assignment for a case; track case assignment history; transfer case assignment; and reassign a caseload.

State Draft Response Dated 11/01/00

The training module also answers the following questions concerning case assignment.

Assignments:

- What is the difference between primary and secondary assignments?
- Is there any other kind of assignment?
- Where can the user assign referrals and cases?
- What is the assignment history?

Transfer Assignments:

- How does a social worker request a unit supervisor to transfer a case to another social worker?
- What is the best way for a supervisor to transfer referrals and cases?
- What is the difference between the transfer assignment command (in the caseload application) and the reassign caseload command (in the resource management application)?

Reminders:

- Where do reminders come from?
- How can reminders be viewed?

**5.(9) Refer for investigation and/or services, as appropriate \*** — Describe how the automated system supports the referral/transfer of the case for investigation, if necessary, or for assessment, if the allegation is not related to maltreatment.

*State Response:*

If the case needs to be transferred, go to the Assignment page in either the Referral or Case folders and change the assignment: by changing the “County”, “CWS Office”, “Unit”, and “Caseload” fields. (CS.Ref.g.primary pages.4 or CS.Case.g.primary pages.3).

If the allegation is not related to maltreatment and should be referred to another agency, the supervisor will evaluate out the referral on the “Determine Response” Action menu.

**Determine Response**

Decision: <None> (Expanded list: Evaluate Out, Immediate, N/A Secondary Report, 10 Day, 3 Day, 5 Day)

Rationale: [Empty text box]

Approval: Approval Status [Empty text box], Date [Empty text box]

Buttons: OK, Cancel, Approval..., Help

Questions:

- Is this an open service case with DSS AND is the current intervention adequately addressing the problem described in the allegation?
- Does the allegation meet one or more of the legal definitions of abuse?
- Is the perpetrator a caretaker of the child or is there reason to believe that the caretaker was negligent in allowing or unable or unwilling to prevent the perpetrator having access to the child?
- Are specific acts and/or behavioral indicators of abuse, neglect, or exploitation included in the allegation?
- Does additional information obtained from collateral contacts or record material invalidate the report?
- Does this report represent one in a series of previously investigated, unsubstantiated or unfounded reports from the same party in which no new allegations or risk factors are revealed?

Advice: [Empty text box]

**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref.g.primar y pages.4			

		CS.Case.g.prima ry pages.3					
{PRIVATE} ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:		
ACF Comments							
<p><b><u>Finding</u></b></p> <p>While the system supports moving a referral to investigation, it does not support moving a referral to assessment. The main assessment processes are conducted outside the system.</p> <p><b><u>Requirement</u></b></p> <p>The system must be modified to support the assessment process in the event that an investigation is unnecessary.</p> <p><b><u>Finding</u></b></p> <p>Staff was concerned that the system forces them to substantiate an allegation before they can refer for services. Staff would like to be able to address the service needs of a family without substantiating an allegation of abuse or neglect.</p> <p><b><u>Recommendation</u></b></p> <p>We recommend that the State examine ways to enhance CWS/CMS to support a referral for services prior to the substantiation of an allegation.</p> <p><b><u>Finding</u></b></p> <p>The Review Team was informed that it is very difficult to assign a referral to a different office. Consequently, some offices close a report and referred the caller to the other Office.</p> <p><b><u>Recommendation</u></b></p> <p>The State should look at developing enhanced training to be given to appropriate staff to enhance their ability to properly utilize CWS/CMS referral assignment functionality.</p>							

State Draft Response Dated 2/1/00

There is no process in California called "referral for assessment." California activities include those which meet the federal requirements for "referral for investigation or services as appropriate". The state has determined that this is a matter of terminology, not of the failure to provide services to children eligible for IV-B and IV-E services.

California requires that all reports to Child Welfare Agencies be assessed. The first assessment, the risk assessment, which has been automated, is used to determine if the incident is appropriate for Child Welfare Services. Reports which are not appropriate may be evaluated, referred to external agencies, and closed with no further services required. California regulations limit Child Welfare Services to children but social workers may receive calls which are requests for general information, questions about services available for adults and many other types of requests.

For all reports relating to children, a referral is created and the process, termed in California an investigation, commences. This is a thirty-day period for the determination of the risk to the child and the

factors contributing to the incident report. California regulations allow up to thirty days for assessments and the provision of services without requiring a formal case with a case plan. In California, a "case" is a period of services provided to a child and other persons requiring a formal case plan.

**State Draft Response Dated 11/01/00**

The ACF contends that the 2/1/00 response sufficiently responds to this requirement. Therefore, this issue is resolved.



**C: Investigation**

Goal: To use the system to support and determine the level of risk to the child, or children, involved in a reported incident of abuse or neglect and to make a recommendation regarding continued agency involvement.


**1.(10) Collect and record investigation information** — Describe how the automated system provides for the input of information collected during the investigation process, including the recording of contacts made during the investigation.

*State Response:*


**During the investigative process, contacts with the victim and any other person(s) are documented in the contact notebook.**

Step	CWS/CMS	Action
2.5.1	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
2.5.2	Open Existing Referral Folder 	1. Click the <b>Existing Referral Folder</b> Notebook. 2. The <b>Select Item to Open</b> drop down will default to <b>Referral</b> . 3. In the <b>Open this Referral</b> grid, click the <b>desired referral</b> . Click <b>OK</b> .


Step	CWS/CMS	Action
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2.5.3	<p>Create New Contact Notebook to Record Investigation of Referral</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Services Management Section</b> button (<b>orange</b>).</li> <li>2. Click the <b>New (+) Contact</b> Notebook.</li> <li>3. In the <b>Select On Behalf of Child</b> grid, click the <b>desired child</b>. Click <b>OK</b>.</li> <li>4. Complete the <b>Contact Page (CS.Ref.o.contact.1)</b>. Include status, purpose and participants involved in the contact. To close the referral you must have completed an <i>in person</i> contact with the victim(s). The <i>Contact Party Type</i> field <u>must</u> include <b>Staff Person/Child</b>. The Contact Purpose must be <i>Investigate Referral</i>.</li> <li>5. <b>If you provided services during the contact</b>, complete the <b>Associated Services Page (CS.Ref.o.contact.2)</b>. Click the (+) button in the upper left corner of the Associated Services grid. Complete all mandatory fields.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• <b>Contact</b> Pages must be completed before <b>Associated Services</b> and <b>Associated Visits</b> Pages can be completed.</li> </ul>
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During the investigation, the child caseworker can enter identification information on collateral through the collateral notebook. A collateral is anyone who is somehow involved with the client but not receiving services.

4.1.4	<p>Create Collateral Notebook</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Client Management Section</b> button (blue).</li> <li>2. Click the <b>New (+) Collateral</b> Notebook.</li> <li>3. The <b>Item to Create</b> drop down will default to <b>Collateral</b>.</li> <li>4. In the <b>For this Client</b> grid, click the desired Client. Click <b>OK</b>.</li> <li>5. Review and complete pages as appropriate (<b>CS.Ref.b.collateral.1-3</b>). In addition to the Collateral's name, add the name of the agency (if applicable) and the primary phone number and/or address.</li> <li>6. On the <b>Related Clients</b> Page be sure to add the <i>Collateral Category</i>. Correct <i>Active Status</i> field as needed.</li> </ol>
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After the investigation, the child caseworker generates a "Child Abuse Investigation Report" and sends it to law enforcement.

2.5.6	<p>Create Cross Report Notebook</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Referral Management Section</b> icon (green).</li> <li>2. Click the <b>New (+) Cross Report</b> Notebook.</li> <li>3. Complete the <b>ID Page. (CS.Ref.g.cross report.1)</b></li> <li>4. Click the <b>File</b> menu drop down, click the <b>Print Report</b> command.</li> <li>5. The <b>Area of Interest</b> drop down will default to <b>Referral Reports</b>.</li> <li>6. In the <b>Report Name</b> grid, click <b>Child Abuse Investigation Report</b>.</li> </ol>
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All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
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PUM 2.5	CS.Ref.o.contact. 1	#7, 8, 18	SD_REFERRAL #2	SR_REFERRAL #1
PUM 4.1	CS.Ref.o.contact. 2			
	CS.Ref.b.collateral.1			
	CS.Ref.b.collateral.2			
	CS.Ref.b.collateral.3			
	CS.Ref.g.cross report.1			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**2.(11) Record investigation decision \*** — Describe how the automated system provides for the recording of the decision resulting from the investigation. *For informational purposes:* What disposition categories are used? Is information on investigations dispositions, including findings with respect to each allegation of maltreatment, linked to perpetrator's record?


*State Response:*

**The child caseworker documents the investigation through the “Investigation Narrative” document.**


Step	CWS/CMS	Action
2.5.4	Create and Print Investigation Narrative Document 	<ol style="list-style-type: none"> <li>1. Click the <b>Referral Management Section</b> button (green).</li> <li>2. Click the <b>New (+) Document - Referral</b> Notebook.</li> <li>3. In the <b>Documents to Generate</b> list, click <b>Investigation Narrative</b>. Click <b>OK</b>.</li> <li>4. Complete document. Use this document to summarize your investigation.</li> </ol>

**The child caseworker documents the results of the investigation through the conclusion page of the allegation.**

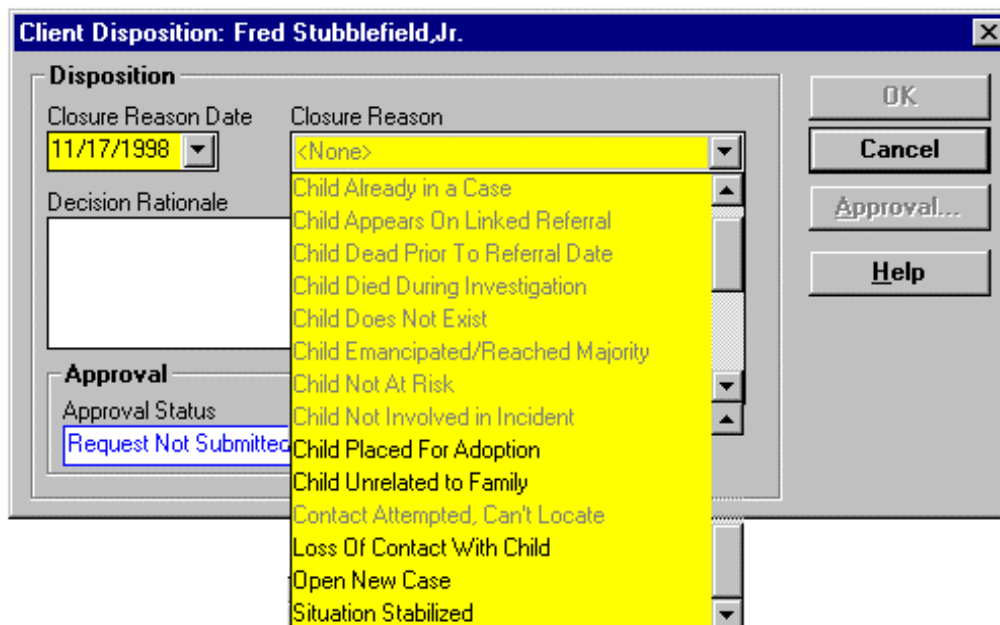
2.5.5	Update Allegation Notebook	<ol style="list-style-type: none"> <li>1. Click <b>Existing Allegation</b> Notebook.</li> <li>2. Review the <b>ID Page (CS.R.allegation.1)</b>. Complete the <b>Conclusion Page (CS.R.allegation.2)</b>. Click on <i>Allegation Conclusion field</i> and select the appropriate item.</li> </ol>
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		<ol style="list-style-type: none"> <li>3. Click (+) in left hand corner of Abuse Information grid. Select Abuse Subcategory. Click <b>OK</b>.</li> <li>4. Repeat Actions until all Allegations have been concluded.</li> </ol>
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If the allegation was from a mandated reporter, the child caseworker must generate a document, “Response to Mandated Reporter” stating the results of the contact/investigation.

2.5.7	<p>Create Response to Mandated Reporter</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Document - Referral Notebook</b>.</li> <li>2. In the <b>Documents to Generate</b> list, click <b>Response to Mandated Reporter</b>. Click <b>OK</b>. System will open into Word.</li> <li>3. Review and complete document. Mark appropriate result of initial Emergency Response Intervention Box. If opening a case or referring out, add the additional information.</li> <li>4. In Word, click the <b>File</b> Menu drop down. Click the <b>Print</b> command Click <b>OK</b></li> </ol> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>• You cannot generate this document unless the <b>Referral Notebook Reporter</b> Page has the <b>Mandated Reporter</b> check box marked.</li> </ul>
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The child caseworker promotes a Referral to a Case or ends CWS involvement through the “Client Disposition” Action. “Closure Reason” [for closing Referral] will be enabled or grayed out depending on Allegations, Allegation Conclusion, and other relevant information entered into the database. (The Disposition Closure Reason categories are shown below.)



**Client Disposition: Fred Stubblefield, Jr.**

**Disposition**

Closure Reason Date: 11/17/1998

Closure Reason: <None>

Decision Rationale:

**Approval**

Approval Status: Request Not Submitted

OK

Cancel

Approval...

Help

Child Already in a Case

Child Appears On Linked Referral

Child Dead Prior To Referral Date

Child Died During Investigation

Child Does Not Exist

Child Emancipated/Reached Majority

Child Not At Risk

Child Not Involved in Incident

Child Placed For Adoption

Child Unrelated to Family


Contact Attempted, Can't Locate

Loss Of Contact With Child

Open New Case

Situation Stabilized



2.5.9	<p>Perform Client Disposition and Request Approval</p> 	<ol style="list-style-type: none"> <li>1. Re-open the Referral.</li> <li>2. Click the <b>Action</b> Menu drop down. Click <b>Client Disposition</b> command.</li> <li>3. The <b>Item to Select</b> drop down will default to <b>Client</b>.</li> <li>4. In the <b>For this Referral</b> grid, click the <b>desired referral</b>.</li> <li>5. In the <b>Select this Client</b> grid, click the <b>desired client</b>. Click <b>OK</b>.</li> <li>6. In the <i>Closure Reason Date field</i>, click the closure reason date.</li> <li>7. In the <i>Closure Reason field</i>, click the closure reason.</li> <li>8. Enter the <b>Rationale</b> for closure as appropriate.</li> <li>9. Click the <b>Approval</b> button.</li> <li>10. In the <b>Approval Status</b> drop down, click <b>Pending Approval</b>.</li> <li>11. Click an <b>Action Date</b> if different.</li> <li>12. Click <b>OK</b>.</li> <li>13. Repeat Steps 5-12 for all victims in this Referral. Then click <b>Cancel</b> in the Select Notebook Dialog Box.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• The Client Disposition command is used to promote a referral to a case <u>or</u> to end Child Welfare Services involvement.</li> </ul> <p>A Client Disposition cannot be performed for a client until all allegations involving the client are concluded on the <b>Conclusion</b> Page in each Allegation Notebook..</p>
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The client abstract (shown below) links the perpetrator's records to the investigation dispositions, including findings with respect to each allegation of maltreatment. (This screen is accessed through Client Services, File menu.)

**Client Services - [ Client Abstract [Anderson, Richard - Row #1 ]]**

File Edit Search Action Associated Attach Window Help

ID Other Names Other Addresses Family Members Referral History Case History

**Referral History**

	Start Date	End Date	County	Referral Status	Last Staff Person	Phone
1	10/12/1997	09/28/1998	Plumas	Closed	McCall BA,Ima A	(530) 889-6742 x6742

Referral Specifics

Received Date/Time: 10/12/1997 09:48am Screener: Maze, Brenda O

Response Date/Time: 10/12/1997 01:00pm Referral Name: Peter Kalmar

Response: Immediate Referral ID: 1306-4095-5197-0000432

Closure Reason: Investigating County: Plumas

☐ Other Associated Referrals

Referral Clients

	Name	DOB	Disposition
1	Anderson, Benjamin J	02/24/1982	Open New Case
2	Anderson, Bobby M	03/08/1990	Open New Case
3	Anderson, Richard M	05/26/1981	Open New Case

Allegations

	Alleged Victim	Abuse Category	Alleged Perpetrator	Disposition
2	Anderson, Benjamin J.	At Risk, but not abused	Kalmar, Peter W.	Substantiated
3	Anderson, Bobby M.	Physical Abuse	Kalmar, Bernice A.	Substantiated

**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.R.allegation.1		SD_REFERRAL #2	
	CS.R.allegation.2		SD_REFERRAL #3	

{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<b>Finding</b>				

Use of the Referral Incident Document requires staff to re-enter previously entered information. The Reason for Intervention needs to be re-entered. Some of these reasons are also used for entering allegations, while others are non-abuse factors.

**Requirement**

The System should populate templates with information from the database. Duplicate data entry does not conform to SACWIS requirements. Some of the reasons for intervention are directly tied to the previously reported allegation, while some are non-abuse factors. ACF is concerned that known abuse factors do not populate the applicable fields on the Reasons for Intervention Document.

**Finding**

The Federal team observed a number of county staff recording information on templates rather than in CWS/CMS. This practice results in staff repeatedly re-entering the same information every time they complete or update a template using that information. It also enhances the opportunity to enter data on templates that is inconsistent with that contained in CWS/CMS.

**Recommendation**

The State should consider adding an edit to CWS/CMS that will prevent staff from entering information directly into template fields that should be populated from the system's database. This edit would require county staff to use the system in the intended manner. The use of the edit would also increase the benefits of the system by requiring the use of the same information that was previously entered in the database for all templates using that same information.

State Draft Response Dated 2/1/00

The state concurs with this finding and has initiated a change request to modify CWS/CMS. During the SACWIS Review system demonstration, the reviewers noted that a part of the application called Reasons for Intervention required duplicate data entry by staff persons. During the system design, the design team considered populating the information from the database. The design team decided that the reasons for intervention should be separated because cases can be opened in CWS/CMS without a referral with an allegation of abuse or neglect. Examples include adoptions services and guardianship referrals. However, the state concurs it is inefficient not to use the information previously recorded during the intake process if it is relevant. The change request (#7382) will request an analysis of the system to populate the intervention reasons with information gathered by social work staff during the intake process.

Draft Response Dated 11/01/00

The state concurs with this finding and has initiated a change request to modify CWS/CMS. During the SACWIS Review, federal staff noted that a part of the application called Reasons for Intervention required duplicate data entry by county staff. During the system design, the design team considered populating the information from the database. The design team decided that the Reasons for Intervention should be separated because cases can be opened in CWS/CMS without a referral containing an allegation of abuse or neglect. Examples include adoptions services and guardianship referrals. However, the state concurs it is inefficient not to use the information previously recorded during the intake process if it is relevant. The change request will result in the populating of intervention reasons with information gathered by social work staff during the intake process. This change is scheduled for implementation in Winter, 2000, provided federal funding approval for the entire \$10 million annual application maintenance budget is timely received.






The State requests that this issue be closed as the state concurs with the finding and has initiated the change.

**3.(12) Generate documents as needed in response to investigation\*** — Describe how the system supports the preparation of Reminders/ticklers, documents, and reports required during, and as a result of, the investigative process.

*State Response:*

## **REMINDERS**

**To view reminders:**

<b>Step</b>	<b>CWS/CMS</b>	<b>Action</b>
5.3.2	View Reminders in Caseload Application  	<ol style="list-style-type: none"> <li>1. Click <b>CASELOAD</b> application on CWS/CMS Control Panel.</li> <li>2. Click the <b>Reminder</b> Folder.</li> <li>3. The <b>Select Item to Open</b> drop down will default to Reminder.</li> <li>4. In the <b>For this Caseload</b>, click the desired caseload. Click <b>OK</b>.</li> <li>5. In the <b>Open this Reminder</b> grid, click the desired reminder. Click <b>OK</b>.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• Use the <b>Filter</b> button to limit the list.</li> <li>• Reminders for an entire caseload can be viewed and printed from the Caseload Application.</li> </ul>
5.3.3	View Reminders in Client Services Application  	<ol style="list-style-type: none"> <li>1. Click <b>CLIENT SERVICES</b> icon (either on CWS/CMS control panel <u>or</u> in Caseload Application).</li> <li>2. Click the <b>Existing Referral</b> or <b>Case</b> Folder.</li> <li>3. Click the <b>Referral</b> or <b>Case Management Section</b> button (<b>green</b>).</li> <li>4. Click the <b>Reminder</b> Notebook.</li> <li>5. The <b>Select Item to Open</b> drop down will default to Reminder.</li> <li>6. In the <b>Open this Reminder grid</b>, Review. Print if desired.</li> <li>7. Click <b>Cancel</b> to close the dialog box.</li> </ol>
5.3.4	Create Reminder Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Referral</b> or <b>Case</b> Folder.</li> <li>2. Click the <b>Referral</b> or <b>Case Management Section</b> button (<b>green</b>).</li> <li>3. Click the <b>New (+) Reminder</b> Notebook.</li> <li>4. Complete the <b>ID Page (CS.Ref/Case.g.reminder.1)</b>.</li> <li>5. Click the <b>File</b> Menu drop down. Click the <b>Save to Database</b> command.</li> <li>6. In the Confirmation Dialog Box, click <b>Yes</b> to save.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• User defined reminders can only be created for a specific referral or case <u>and</u> when in the Client Services application.</li> </ul>

CWS/CMS generates reminders during the referral and case process. These reminders must be responded to (cleared) in order to proceed through the referral or case process. The child caseworker can generate their own reminders (CS.Ref/Case.g.reminder.1) or view existing system reminders.

Reminders can also be viewed in the CLIENT SERVICES application. The child caseworker can view reminders in either the Referral or Case folders through the reminder notebook of the Case Management section. These reminders may be viewed by the child caseworker and the supervisor through the CLIENT SERVICES application in either the Referral or Case folders or through the CASELOAD application.

These reminders can be filtered as shown below.

In the CASELOAD application, the supervisor can call up all the system reminders of cases in the supervisor's unit.

Unit	Caseload/User ID
2 Assignment Desk	hoot
3 Assignment Desk	In-box caseload
4 Big Butte' One	In-box caseload
5 Assignment Desk	dobe

Date Due	Name	Reminder Message
10/12/1995	Charlie Dull	Initial Case Plan Due
10/30/1996	Charlie Dull	Chng Plcmnt or Terminate Plcmnt Episode
10/30/1998	hotter dog	Referral Investigation Contact Due
10/31/1998	hotter dog	Cross Report for Law Enforcement Due
11/06/1998	hotter dog	FC Eligibility Redetermination Due
11/28/1998	jkhh hjkh	Initial Case Plan Due
11/28/1998	jkhh hjkh	State ID Missing
11/28/1998	dog, hotter	Initial Case Plan Due
11/28/1998	dog, hotter	Chng Plcmnt or Terminate Plcmnt Episode

## **DOCUMENTS**

CWS/CMS requires the child caseworker to generate documents in order to proceed through the referral or case process. Also, generating required documents clears reminders. Documents are saved as Word files and may be accessed any time during the process.

## **REPORTS**

CWS/CMS requires the child caseworker to generate reports in order to proceed through the referral or case process. Also, generating required reports clears reminders. When a report is generated, the report fields are automatically updated with the current database values. A report is a snapshot in time. Reports are printed out but not saved with the referral or case

**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref/Case.g.re minder.1	all	all	all

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>CWS/CMS contains both reports, which must be regenerated each time they are needed, and documents, which can be saved to the database. The State is congratulated on the amount of data that is pre-populated on these reports and documents. However, the reports cannot be saved in an electronic format, or transmitted to anyone. In order to share the reports with others, they must be printed, and then either mailed or faxed.</p> <p><b><u>Recommendation:</u></b></p> <p>The State should investigate enhancing CWS/CMS to provide a capability to save reports as electronic files and transmit the reports electronically.</p>						

### D: Assessment

Goal: To provide automated support of the determination of the level of risk to the children involved in an allegation of abuse or neglect and to identify service needs.

**1.(13) Determine and record risk assessment \*** — Describe how the automated system supports the evaluation and determination of risk factors affecting the case.

*State Response:*

During the referral process, risk factors are gathered and evaluated. This process starts with the recording of an allegation and is aided by a statewide database search for previous history on the client and/or perpetrator (Client Abstract). This previous history includes previous allegation information.

After there is a determination and approval of a response type, the "Emergency Response Referral Document" is printed out and given to the child caseworker for use in the risk evaluation.

The top of the "Screener Narrative" document has a section to be used to "COLLECT AND RECORD INFORMATION ABOUT THE FOLLOWING RISK FACTORS:"

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
			SD_REFERRAL #1	
			SD_REFERRAL #4	

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b>Finding</b></p> <p>CWS/CMS does not appear to adequately support the evaluation and determination of risk factors affecting the case. The "Determine Response screen appears to provide limited support for this function.</p> <p><b>Requirement</b></p> <p>The State must enhance the "Determine Response" screen so that it is a useful tool to staff to support the evaluation and determination of risk factors. The State must identify in its response how it intends to enhance the system's ability to support the evaluation and determination of risk factors.</p>						

State Draft Response Dated 2/1/00

CWS/CMS fully supports the evaluation and determination of risk factors affecting cases in a variety of ways, many of which are cited and/or discussed in this document. Essential client and family information, including data pertaining to allegations, prior services, family strengths, and a host of other variables provide a foundation for assessment, service delivery, and on-going case management. More specifically, the

CWS/CMS application contains a "Screener Narrative" that is used to capture details of child abuse referrals. The details are provided by the reporter and updated by the screener when additional information is received from collateral contacts or other involved sources. The purpose of the screener narrative is to collect and record information about the following risk factors:

- a. Precipitating Incident (severity, frequency; location and description of injury; history of abuse)
- b. Child Characteristics (Age, vulnerability, special circumstances; perpetrator's access; behavior, interaction with caretakers, siblings and peers)
- c. Caretaker Characteristics (Capacity for child care; interaction with children, other caretakers; skill, knowledge; substance abuse, criminal behavior, mental health),
- d. Family Factors (Relationships, support systems; history of abuse; presence of parent substitute; environmental conditions; family strengths)

The risk factors in the Screener Narrative provide a basis for determining the extent and type of services to be provided clients. It is effective in aiding child welfare workers with decisions that balance the important values of child safety and family integrity. Nevertheless, the State is committed to providing the best possible tools for evaluation and assessment, and will continue to pursue enhancements for risk determination as determined by county input, and state and federal laws and regulations.

State Draft Response Dated 11/01/00

The ACF contends the 2/1/00 response sufficiently responds to this requirement. Therefore, this issue is resolved.

**2.(14) Perform risk assessment** — Describe how the automated system performs an automated risk assessment to determine the relative level of risk.

*State Response:*

**As shown previously, the "Determine Response" menu supports the evaluation of the risk factors affecting the case. This "risk assessment" is reported based on application software logic. The application software does not calculate levels or percentages of risk. The advice section can be overridden.**



**All SACWIS requirements have been meet.**

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
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**ACF Comments**

**Finding:**

CWS/CMS does not perform an automated risk assessment of any kind. However, there are several models currently used by counties. At the time of the review, there was no statewide agreement on what tool to use, and no executive sponsorship to support the inclusion of automated risk assessment in CWS/CMS. Some counties are piloting an automated Structured Decision Making tool that performs an automated risk assessment. This automated tool is not only external to CWS/CMS but also does not share data with the State's system. The use of manual or additional automated systems does not conform to a SACWIS compliant environment.

**Requirement:**

The State is congratulated on continuing to look for a good tool for automatic risk assessment. At a

minimum, this tool should be accessible through CWS/CMS, utilize as much CWS/CMS data as possible, and should be able to record its results within CWS/CMS. The State must minimize or eliminate the amount of duplicate child welfare data that is entered and maintained in multiple manual and automated systems. The maintenance of the same or similar child welfare data in multiple locations reduces the importance of CWS/CMS to workers, which could lead to reduced use of the system. It also enhances the opportunity for erroneous data to be entered into CWS/CMS, thereby jeopardizing that system's data integrity and reliability. The State must update its response to describe its plans to provide this functionality. It must also update its APD to show and explain cost and schedule implications.

State Draft Response Dated 2/1/00

The state did not appropriately respond to the question in its original response. This was an oversight by the state staff person assigned to review the response. The state wishes to re-state its answer as follows.

The state Selected Option should be marked "NO."

Please also note that CWS/CMS supports the evaluation and determination of risk factors affecting cases in a variety of ways, including the collection of essential client and family information, data pertaining to allegations, prior services, family strengths, and a host of other variables important for assessment, service delivery, and on-going case management. However, this ACF requirement calls for automated risk assessment, and the State does not find support for this requirement in SACWIS statute or regulations. Nevertheless, the State is committed to automated risk assessment and moving in that direction. To that end, CDSS has implemented a Structured Decision-Making (SDM) Project. The current SDM model is a synthesis of other instruments being tested and refined across the county. The diversity of instruments reflects the early stages of this important and needed research. The current phase of project operations will allow the State to evaluate the efficacy and utility of automated risk assessment prior to statewide implementation and the revision process. In doing so, CDSS anticipates that implementation costs will be lower and data yields will likely prove far more reliable than might be with premature implementation.

Both State and County staff are committed in principle to the elimination of duplicative systems and data entry when feasible and efficacious.

Jurisdictions within the state assess the level of risk to the child at intake and during the case, and identify risk factors to the child. Counties use different risk assessment protocols and methodologies in order to determine risk. Information from CWS/CMS is used by social workers to assess risk to the child during the intake process and throughout the period of services provided to the child.

A change request (RTS) has been drafted recently to provide additional multi-featured support for risk assessment. Analysis and potential enhancements may require examination of designs in other states that have successfully met this federal requirement.

The State observes that no automated tool can exclusively serve as the assessment mechanism for determining risk completely. To do so would replace sound, professional casework judgment. It is anticipated that CWS/CMS will provide new tools for child welfare professionals, and these tools will assist workers and supervisors exercise their training, experience, and judgement.

State Draft Response Dated 11/01/00

The state Selected Option should be marked "NO."

As referenced in our 2/1/00 response, the State is committed to the concepts of an automated risk assessment and has moved forward with a Pilot Project of a Structured Decision-Making (SDM) Project. The Pilot Project is a synthesis of other instruments being tested and refined across the county. Because the SDM is currently being piloted, the SDM is not mandated by the state. Once the SDM has been evaluated, CDSS will determine whether to mandate SDM upon the 58 counties. If it is determined that SDM will be mandated, then appropriate systems analysis will be completed and implementation strategies will be put into the queue statewide. Should the State elect to mandate SDM and include this into CWS/CMS, then we will include this in an applicable APDU.

**3.(15) Collect and record special needs/problems** \* — Describe how the automated system supports the determination and documentation of special needs/problems (e.g., special education, developmental disabilities, medical assessment, etc.). Considering that AFCARS is a SACWIS requirement, the response should also indicate how the system's categorization of disabilities and family problems correspond to AFCARS and NCANDS (if applicable) data reporting elements.

*State Response:*

**The child caseworker can enter information on special needs/problems on the "Investigation Narrative" document.**


**The CLIENT SERVICES application, Case or Referral folder, Service Management section is also used to document contacts, services, and visits. These terms are defined as:**



**Contacts - any scheduled, attempted or completed contact (written, phone or in-person) between the Social Worker and a client, collateral, service provider, substitute care provider, etc.**


**Services - specific services delivered or offered to the client by the child caseworker or service provider. Services are recorded with the contact where the child caseworker offered the service or learned that services had been provided.**

**Visits - contacts between the child and siblings, parents, grandparents and/or other relatives. These can be unsupervised or supervised. Visits are recorded at the same time as the Contact where the child caseworker follows up on attempted or completed visits or schedules the visits.**


**To document a contact perform the following steps:**


Step	CWS/CMS	Action
3.1.2	Start CWS/CMS 	1. Click on the <b>Client Services</b> icon.


3.1.3	<p>Open Existing Referral</p>  <p>OR Case Folder</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Referral Folder</b> or <b>Case Folder</b>.</li> <li>2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b>.</li> <li>3. In the <b>Open this Referral</b> grid, click the desired referral. Click <b>OK</b>.</li> </ol>
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Step	CWS/CMS	Action
3.1.4	<p>Create New Contact Notebook</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Service Management</b> Section icon (orange).</li> <li>2. Click the <b>New (+) Contact</b> Notebook.</li> <li>3. In the <b>Select On Behalf Of Child</b> grid, click the <b>desired child(ren)</b>. Click <b>OK</b>.</li> <li>4. Complete the <b>Contact</b> Page (<b>CS.Ref/Case.o.contact.1</b>). Document the contact in the <i>Narrative</i> field. If you gathered Health, Visit, or Services information, that detail should be entered on the <b>Associated Services</b> Page (<b>CS.Ref/Case.o.contact.2</b>), <b>Associated Visits</b> Page (<b>CS.Ref/Case.o.contact.2</b>), in the <b>Health Notebook</b> Pages (<b>CS.Ref/Case.b.health.1-5</b>) and <b>Education Notebook</b> Pages (<b>CS.Ref/Case.b.education.1&amp;2</b>), as appropriate; and just make reference to the item in the <b>Contact</b> Page narrative. The <i>Status</i> field of the <b>Contact</b> Page should be marked <b>Completed</b> if you had contact with the Substitute Care Provider and if you did not receive and/or provide information.</li> <li>5. Complete the <b>Associated Services</b> Page (<b>CS.Ref/Case.o.contact.2</b>) when the Social Worker is informed of or is involved in attempted or completed visits (between the child and relatives.) Click the (+) button in the upper left hand corner of the Associated Services grid to add information. You need to click the (+) in the grid for each service you are describing.</li> </ol> <p><b>Notes:</b> Search for a Service Provider or Collateral before creating a “new” Service Provider or Collateral.</p>


To enter a service provider perform the following steps:

Step	CWS/CMS	Action
3.2.1	<p>Start CWS/CMS</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Client Services</b> icon.</li> </ol>
3.2.2	<p>Open Existing Referral Folder</p>	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Referral</b> or <b>Case Folder</b> Notebook.</li> <li>2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b>.</li> <li>3. In the <b>Open this Referral</b> grid, click the desired Referral. Click <b>OK</b>.</li> </ol>

	 <b>or</b> Case Folder 	
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Step	CWS/CMS	Action
3.2.3	Search for Service Provider	<ol style="list-style-type: none"> <li>1. Click the <b>Search</b> Menu drop down. Click the <b>Start Search</b> command.</li> <li>2. Click Search Type <b>Service Provider</b>.</li> <li>3. Complete the appropriate search criteria. Click <b>OK</b>.</li> <li>4. If you do not find the Service Provider, go to 3.2.4.</li> </ol>
3.2.4	Create New Provider Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>Services Management Section</b> button (orange).</li> <li>2. Click the <b>New (+) Service Provider</b> Notebook.</li> <li>3. Complete mandatory fields for the <b>ID Page</b> (<u><a href="#">CS.Ref/Case.o.service provider.1</a></u>).</li> <li>4. Complete the <b>Address Page</b> (<u><a href="#">CS.Ref/Case.o.service provider.2</a></u>) if you have the information.</li> </ol>

To document the services being provided perform steps in 3.1.4 above. Services must be entered first in the contact notebook, associated services page, then CWS/CMS can generate a report to document these client services in the “Delivered Services Log”.

Step	CWS/CMS	Action
3.3.1	Start CWS/CMS 	<ol style="list-style-type: none"> <li>1. Click the <b>Client Services</b> icon.</li> </ol>
3.3.2	Print Delivered Service Log	<ol style="list-style-type: none"> <li>1. Click the <b>File</b> Menu drop down, click the <b>Print Report</b> command.</li> <li>2. Click <i>Area of Interest</i> field and select <b>Services Report</b>.</li> <li>3. Click the Report Name <b>Delivered Services Log</b>.</li> <li>4. Click <b>Select Item to Open</b> click <b>Referral</b> or <b>Case</b>. Click <b>Load</b>.</li> <li>5. Select the desired referral or case for the report to be printed. Click <b>OK</b>.</li> <li>6. Complete the <i>Date Range</i> fields and select the Delivered Service Log item in the Delivered Services Select Filter Box. Click <b>Apply</b>.</li> </ol>

CWS/CMS can also document special needs/problems through the “Health and Education Passport” and/or the “Request for Confirmation of Child’s Status As An Indian” documents.

The system document “SOC 158A - Foster Child’s Data Record and AFDC-FC Certification” and all Program Management reports have data reporting elements that correspond to AFCARS and NCANDS reporting requirements.

All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 3.1-3	CS.Ref/Case.o.contact.1 & 2		SD_REFERRAL #2	SR_SERVICES #1
	CS.Ref/Case.b.health.1-5		SD_CLIENT #1	PM_ALL
	CS.Ref/Case.b.education.1&2		SD_CLIENT #2	
	CS.Ref/Case.o.service provider.1 & 2		SD_PLACEMENT #4	

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<p><b><u>Finding</u></b></p> <p>While the system is capable of capturing diagnosed disabilities, it includes observed conditions in the same pick list used to select the appropriate condition. This inclusion of both diagnosed disabilities and observed conditions in the same pick list to identify a diagnosed disability could lead to the inappropriate selection of an observed condition. This in turn would have a negative impact on reporting accurate Adoption and Foster Care Analysis Reporting System (AFCARS) data.</p> <p><b><u>Requirement</u></b></p> <p>The State must modify CWS/CMS so that diagnosed disabilities and observed conditions are separate and unique data fields.</p>				

State Draft Response Dated 2/1/00

A disability – Client Condition – is the same disability/condition, whether it is diagnosed or observed and until actually is selected by a user, is merely a list of possible disabilities that can be either diagnosed or observed. A relational data base such as the CWS/CMS can allow these disabilities to be stored as one list because the controlling factor is not the disability/condition itself, but rather it is the mapping of the relationship between that disability from the stored list to the appropriate client, function or report. When a user is viewing the client condition list from the diagnosed condition screen, and selects a specific disability/condition to be associated with a specific client, that disability is identified by the CWS/CMS as a diagnosed disability/condition of that client because of where it was selected from rather than the type of disability it is. Additionally, the system requires the user to enter who diagnosed the condition. The same would be true if a disability/condition was selected from the Observed Condition screen. When a user is viewing the client condition list from the observed condition screen, and selects a specific disability/condition to be associated to a client, that disability is identified by the CWS/CMS as an observed disability/condition because it was selected from the observed condition screen. This identification of a specific selected disability/condition as either diagnosed or observed provides a separate and unique identification and storage of the data utilizing where it was selected from and who it is related to. Consequently, when a

report asks for a count of all diagnosed disabilities/ conditions of a certain type, the mapping on the report tells the CWS/CMS to look for and count only the disabilities of that type that are identified as having been selected by a user from the diagnosed condition screen.

State Draft Response Dated 11/01/00

Client conditions are documented on two different pages in the Client Notebook. A page entitled "Observed Conditions" is used to record conditions observed but not formally diagnosed. The name of the person who observed the condition is mandatory. It is possible to record a condition observed by a teacher, counselor, relative, foster parent, or social worker. A second page is entitled "Diagnosed Condition". If a user is on the "Diagnosed Condition" page and selects a condition type, it is mandatory for the user to identify the medical practitioner who made the diagnosis. The social worker is also able to record the telephone number of the medical practitioner who made the diagnosis. The "Diagnosed Condition" page allows the social worker to record information about each diagnosed condition, such as whether the condition is a communicable disease, the date of onset of the condition, and any medical treatment currently related to the condition. The CWS/CMS user interface is sufficiently comprehensive and sophisticated to allow specific business rules for each page and field in the application.



Individual child needs dictate that system users correctly identify and report client conditions. Diagnosed conditions are printed out on the Health Education Passport. The document is given to both licensed and relative caregivers when the child is in a foster placement. The fact that the information is used for the care of children is a powerful incentive for workers to correctly identify and differentiate between diagnosed and observed conditions. The CWS/CMS permits and facilitates the documentation of diagnosed conditions. Where no formal diagnosis has been made, the system supports the recording of observations and allows surveillance of potentially important but undiagnosed conditions.

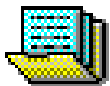
**4.(16) Determine and record needed services \*** — Describe how the automated system supports and records the determination of needed services, including the assignment and level of care (placement locations, in-home care, etc.).

*State Response:*


**The child caseworker determines the needed services of a child client by development of the case plan and generating the "Case Plan Family Assessment" document.**

**To group all the participants into one case plan, the child caseworker performs the following steps:**

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
5.1.3	Update Existing Case 	1. Click the <b>Existing Case</b> Folder. 2. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b> .  <b>Note:</b> • Repeat this step for all siblings who will be part of the same Case Plan.

Step	CWS/CMS	Action
5.1.4	Create <i>New</i> Case Plan Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Case Plan</b> Notebook.</li> <li>2. In the <b>Select New Case Plan Participants</b> Dialog Box, click each focus child's name in the <i>All Related Clients</i> field; then click the upper <b>Add</b> to move their names to the <i>Focus Child</i> field. (The name of the child whose case you are working in will already be listed in this field.)</li> <li>3. In the <b>Select New Case Plan Participants</b> Dialog Box, click the other participants' names in the <i>All Related Clients</i> field; then click the lower <b>Add</b> to move their names to the <i>Other Participants</i> field. (This includes other children in the family who do <u>not</u> have an open CWS/CMS case.)</li> <li>4. Complete the <b>Case Focus Children</b> Page (<b>CS.Case.g.case plan.2</b>) by selecting a <i>Case Plan Goal</i>, entering a <i>Goal Projected Completion Date</i>, and completing the <i>Adoptability</i> field for each Case Focus Child.</li> </ol> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>• Do not complete the <b>Planned Services</b> Page before completing the <b>Participant Profile</b> Notebooks for this family.</li> </ul>

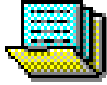

**The child caseworker must enter information about each case participant needs.**

Step	CWS/CMS	Action
5.1.5	Create Participant Profile Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Participant Profile</b> Notebook.</li> <li>2. In the <b>Select Item to Open</b> drop down, click <b>Participant Profile</b>.</li> <li>3. In the <b>For This Case Plan</b> grid, click the <b>desired Case Plan</b>.</li> <li>4. Complete all relevant fields on each page. Select <i>Receive Age Appropriate Services</i> as a <i>Service Objective</i> for each focus child. Additional <i>Service Objectives</i> may be selected, but this one is mandatory. The <i>Projected Completion Date</i> field is mandatory for each <i>Service Objective</i>. Select at least one <i>Contributing Factor</i> and at least one <i>Family Strength</i>. Click <b>OK</b>. (<b>CS.Case.g.participant profile.1-3</b>).</li> <li>5. Repeat for each Case Plan Participant.</li> </ol>

**If a client has a need, the child caseworker must enter a corresponding planned service. This is document in the “Case Plan Family Assessment” document:**

Step	CWS/CMS	Action
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5.1.6	Complete Case Plan (Planned Services) 	<ol style="list-style-type: none"> <li>1. Re-open the Case.</li> <li>2. Click the <b>Existing Case Plan</b> Notebook.</li> <li>3. Click the <b>Planned Services</b> Page (<b>CS.Case.g.case plan.5</b>). Complete this page by clicking on the (+) in the upper left corner of the Planned Services grid for each service. Then completing mandatory fields and other fields as appropriately.</li> </ol> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>• Case Plans must be approved by the Supervisor. It is recommended, however, that you print and review the Case Plan Family Assessment document and a Child Welfare Services Case Plan document or a Child Welfare Services Case Plan-Update document before requesting Approval.</li> </ul>
5.1.7	Create/Print Case Plan Family Assessment Document 	<ol style="list-style-type: none"> <li>1. Re-open the Case.</li> <li>2. Click the <b>New (+) Document - Case Plan</b> Notebook.</li> <li>3. In the <b>Documents to Generate</b> drop down, click Case Plan Family Assessment.</li> <li>4. Review/complete document as appropriate.</li> </ol>

The “Child Welfare Services Case Plan” and “Child Welfare Services Case Plan-Update” documents the services being supplied.

The reports, “History of Child Placements and “Temporary Custody Locations” provide the chronological record of the clients placements.

All SACWIS requirements have been meet.

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 5.1	CS.Case.g.participant profile.1-3		SD_CASEPLAN #1	SR_CLIENT #6
PUM 7.0	CS.Case.g.case plan.2		SD_CASEPLAN #2	SR_CLIENT #9
	CS.Case.g.case plan.5.		SD_CASEPLAN #3	

{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				

**Finding**

The system does not adequately support the determination of needed services based on the child and/or family's identified needs, strengths, and allegations.

**Requirement**

The State must provide additional information to explain how the system supports staffs' determination of the appropriate services to be offered to the family based on the available situational information. If applicable, the State must describe the additional functionality it will develop that will support this functionality.

State Draft Response Dated 2/1/00

The State observes that no automated tool can exclusively serve as the arbiter of what services are most appropriate for the family. With this in mind, CWS/CMS is a tool that assists social workers to make sound, professional case plan recommendations.

The determination of needed services is facilitated by use of the online Case Plan. The redesigned Case Plan (not yet in production) consists of one notebook with seven pages; ID, Case Plan Participants, Contributing Factors, Strengths, Service Objectives, Planned Client Services and Case Management Services.

Notebook pages, when completed by the user, build toward the determination of appropriate Planned Client Services and Case Management Services (the final page in the sequence.)

Services are grouped by category and subcategory and are intuitive as to what need they would fulfill, yet the functionality allows for the professional judgment of the Supervisor to be the determining factor. The revised Services code tables are listed below.

**Services the Client participates in – (Planned Client Services)**

Counseling/Mental Health Services

- a. Domestic Violence Program
- b. General Counseling
- c. Other
- d. Psychiatric/Psychological Evaluation
- e. Psychotropic Med Eval/Monitoring
- f. Sexual Abuse
- g. Therapeutic Day Treatment Services

Educational Services

- a. Other
- b. Parenting Education Program
- c. Special Education
- d. Teaching And Demo Homemakers
- e. Temporary Caretakers
- f. Tutoring

Family Preservation Services

- a. Auxiliary Request
- b. California Children Services
- c. Child Care
- d. Counseling
- e. Drug Treatment
- f. Emergency Care
- g. Employment and Training
- h. Health Care
- i. Housing
- j. Income Support
- k. Other
- l. Parent Training
- m. Regional Center Services
- n. Respite Care
- o. Special Education
- p. Substitute Role Model
- q. Teaching and Demo
- r. Transportation

**Health/CHDP Services**

- a. Current Service Provider
- b. Dental Visit
- c. HEP - CHDP Equivalent Physical
- d. HEP – CHDP Physical Exam
- e. HEP – Periodic Dental Exam
- f. Medical Visit
- g. Medication Management
- h. Other
- i. Provide Medical Consent
- j. Provide Medical Information

**Independent Living Program Services**

- a. Career/Job Guidance
- b. Consumer Skills
- c. Education
- d. Health Care
- e. Home Management
- f. Housing Options/Locations
- g. Interpersonal/Social Skills
- h. Money Management
- i. Other
- j. Parenting Skills
- k. Time Management Skills
- l. Transitional Housing
- m. Transportation

**Substance Abuse Services**

- a. Counseling
- b. Other
- c. Substance Abuse (inpatient)

- d. Substance Abuse (outpatient)
- e. Substance Abuse Testing
- f. 12-Step Program

### **Services the Social Worker Provides – Case Management**

#### **Case Management Services**

- a. Arrange and Maintain Placement
- b. Arrange Emergency Shelter Care
- c. Arrange Service Delivery
- d. Arrange Transportation
- e. Arrange Visitation
- f. Arrange/Refer legal Consultation
- g. Obtain Medical Consent
- h. Other
- i. Perform Case Planning Activities
- j. Provide Crisis Intervention
- k. Referrals to Community Resources
- l. SW Plan Contact
- m. Transport Client

#### **Concurrent Services Planning**

- a. Assess child for Adoptions
- b. Disclosure to Birth Parents
- c. Joint Assessment Review-CWS/Adopt
- d. Other
- e. Recommend Permanency Alternative
- f. Refer/Complete Adoption Homestudy
- g. Refer/Complete Guardian Homestudy
- h. Refer/Complete Relinquishment
- i. ID/Assess Permanency Planning Family
- j. Place in Permanency Planning Family

#### **Family Preservation Services**

- a. Other
- b. Referral to Family Preservation

#### **Health/CHDP Services**

- a. Arrange Medical, Dental, Vision
- b. Arrange Transportation for Dental
- c. Arrange Transportation for Medical
- d. Other
- e. Provide CHDP Medical/Dental Information
- f. Provide Medical/Dental Information
- g. Refer to California Children's Services
- h. Schedule CHDP Medical
- i. Schedule Dental

#### **Independent Living Program Services**

- a. other
- b. Referral to Community Resources

- c. Referral to ILP Services

Placement

- a. Aftercare
- b. Awake Night Staff
- c. Discharge Plans
- d. Emergency Shelter Care
- e. Foster Care
- f. Medication Management
- g. On-Ground School
- h. One-to-one Supervision
- i. Other

Draft Response Dated 11/01/00

The State observes that no automated tool or computer program can substitute for professional social work judgement when identifying necessary services for children and families in need. The CWS/CMS is a tool that assists the child welfare services worker make sound case decisions and recommendations, but does not and can not replace the case work professional. That said, the use of CWS/CMS, and more specifically, the online Case Plan, greatly facilitates the determination of needed services. The redesigned Case Plan was implemented in June 2000. The redesigned Case Plan consists of one notebook with seven pages; ID, Case Plan Participants, Contributing Factors, Strengths, Service Objectives, Planned Client Services, and Case Management Services. The Case Plan functionality enables workers to generate detailed assessments of the needs of each focus client, strengths, contributing factors, service objectives, and time frames. Workers are also able to identify the person or resource responsible for meeting the objective. Newly redesigned functionality will streamline the creation of these Case Plans with enhanced layout and multi-selection choices. Workers can readily tailor the plans to fit the focus adult or child client. Workers will also be able to enter in permanency goals and objectives for Concurrent Planning.

Notebook pages, when completed by the user, build toward the determination of appropriate Planned Client Services and Case Management Services (the final page in the sequence).

Case Example: A ten year old girl is the victim of sexual and physical abuse. Her mother failed to protect her from an abusive partner and is in denial that the sexual abuse occurred.

Case Plan Assessment: The social worker would record the reason for CPS intervention in the application as Physical and Sexual Abuse on the client ID pages. The worker would then identify the focus child and other case plan participants such as the parent and foster parent.

On the Service Objectives page, using the drop down menus, the worker would choose:

- Receive Age Appropriate Services
- Counseling

Service Objectives for the parent identified through the menu choices could be:

- Accept disclosures made by the child
- Allow victim confrontation

Clarifying text could be added in a text field for each of these items in order to more accurately reflect the specific situation.

On the Contributing Factors Page, the worker could identify the following contributing factors that lead to intervention:

- Parent lacks parenting skills
- Parent has history of being abused
- Lack of Parenting Bond/Involvement

On the Family Strengths page, the worker would be able to list the strengths for this family, such as:

- Housing adequate
- Income source adequate
- Extended family support
- Employed
- No known prior abuse/neglect
- Cooperative

In addition, workers are able to add specific text on the Case Plan Family Assessment Document to identify such key factors as the place of work, specifics on parental cooperation with services, and the principal family supports available.

The Planned Services Page would allow the worker to identify both categories and types of services, the starting date, frequency, and case plan participants. For example, the worker would be able to identify case management services such as arranging and maintaining a placement with weekly visitations. Counseling services could be identified for sexual abuse issues involving the mother and daughter. Clarifying text could identify the counseling resource, time frame, and type of treatment. These would be included in the case plan documents to be provided to the parent(s) and the Court. Finally, these could be submitted electronically to the supervisor for review and approval on-line prior to printing for the family's review and signature.

The following CWS/CMS services code tables reflect the exhaustive nature of service choices found in CWS/CMS, yet the functionality recognizes that the professional judgement of the Social Worker and Supervisor are the determining factor.

#### **Services the Client participates in – (Planned Client Services)**

##### **Counseling/Mental Health Services**

- h. Domestic Violence Program
- i. General Counseling
- j. Other
- k. Psychiatric/Psychological Evaluation
- l. Psychotropic Med Eval/Monitoring
- m. Sexual Abuse
- n. Therapeutic Day Treatment Services

##### **Educational Services**

- g. Other
- h. Parenting Education Program
- i. Special Education
- j. Teaching And Demo Homemakers

- k. Temporary Caretakers
- l. Tutoring

Family Preservation Services

- s. Auxiliary Request
- t. California Children Services
- u. Child Care
- v. Counseling
- w. Drug Treatment
- x. Emergency Care
- y. Employment and Training
- z. Health Care
- aa. Housing
- bb. Income Support
- cc. Other
- dd. Parent Training
- ee. Regional Center Services
- ff. Respite Care
- gg. Special Education
- hh. Substitute Role Model
- ii. Teaching and Demo
- jj. Transportation

Health/CHDP Services

- k. Current Service Provider
- l. Dental Visit
- m. HEP - CHDP Equivalent Physical
- n. HEP – CHDP Physical Exam
- o. HEP – Periodic Dental Exam
- p. Medical Visit
- q. Medication Management
- r. Other
- s. Provide Medical Consent
- t. Provide Medical Information

Independent Living Program Services

- n. Career/Job Guidance
- o. Consumer Skills
- p. Education
- q. Health Care
- r. Home Management
- s. Housing Options/Locations
- t. Interpersonal/Social Skills
- u. Money Management
- v. Other
- w. Parenting Skills
- x. Time Management Skills
- y. Transitional Housing
- z. Transportation

Substance Abuse Services

- g. Counseling
- h. Other
- i. Substance Abuse (inpatient)
- j. Substance Abuse (outpatient)
- k. Substance Abuse Testing
- l. 12-Step Program

### **Services the Social Worker Provides – Case Management**

#### **Case Management Services**

- n. Arrange and Maintain Placement
- o. Arrange Emergency Shelter Care
- p. Arrange Service Delivery
- q. Arrange Transportation
- r. Arrange Visitation
- s. Arrange/Refer legal Consultation
- t. Obtain Medical Consent
- u. Other
- v. Perform Case Planning Activities
- w. Provide Crisis Intervention
- x. Referrals to Community Resources
- y. SW Plan Contact
- z. Transport Client

#### **Concurrent Services Planning**

- k. Assess child for Adoptions
- l. Disclosure to Birth Parents
- m. Joint Assessment Review-CWS/Adopt
- n. Other
- o. Recommend Permanency Alternative
- p. Refer/Complete Adoption Homestudy
- q. Refer/Complete Guardian Homestudy
- r. Refer/Complete Relinquishment
- s. ID/Assess Permanency Planning Family
- t. Place in Permanency Planning Family

#### **Family Preservation Services**

- c. Other
- d. Referral to Family Preservation

#### **Health/CHDP Services**

- j. Arrange Medical, Dental, Vision
- k. Arrange Transportation for Dental
- l. Arrange Transportation for Medical
- m. Other
- n. Provide CHDP Medical/Dental Information
- o. Provide Medical/Dental Information
- p. Refer to California Children's Services
- q. Schedule CHDP Medical
- r. Schedule Dental



Independent Living Program Services

- d. other
- e. Referral to Community Resources
- f. Referral to ILP Services

Placement

- j. Aftercare
- k. Awake Night Staff
- l. Discharge Plans
- m. Emergency Shelter Care
- n. Foster Care
- o. Medication Management
- p. On-Ground School
- q. One-to-one Supervision
- r. Other

As noted above, the CWS/CMS clearly supports the link between reasons for intervention, case plan design and service delivery. The system allows this by being a tool that assists the child welfare services worker to make sound case decisions and recommendations, but does not replace the case work professional.

**5.(17) Record client contacts** — Describe how the automated system provides for the recording of client contacts in the electronic case folder.

*State Response:*

**See answer to 3.(15) above.**

**All SACWIS requirements have been meet.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>{PRIVATE }Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
<b>PUM 3.1</b>				<b>SR_SERVICES #1</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**6.(18) Prepare and record referrals to other agencies** — Describe how the automated system provides for the preparation and recording in the electronic case folder of referrals to other agencies.

*State Response:*

**CWS/CMS has no electronic interfaces to other systems.**

**To transfer cases or referrals between agencies, please see 5.(9) above.**

*Documentation References:*

<b>{PRIVATE}</b> <b>}State Selected</b> <b>Option</b>	<b>YES:</b>		<b>NO:</b>	<b><u>X</u></b>
<b>{PRIVATE}</b> <b>}Reference</b> <b>Source</b>	<b>Screen Identifier</b>	<b>Reminder</b> <b>Identifier</b>	<b>Document</b> <b>Identifier</b>	<b>Report Identifier</b>

<b>{PRIVATE}</b> <b>ACF ONLY</b>	<b>Conforms</b> <b>? Y/C/N</b>	<b>N</b>	<b>Finding Summary</b> <b>Worksheet Completed?</b> <b>Yes or Blank</b>		<b>Resolution</b> <b>Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>CWS/CMS does not support the preparation of referrals to other agencies. Staff relies on manually generated paper documents to initiate a referral. Furthermore, recording of a manual referral would be done in a narrative field. However, the CWS/CMS System Requirements Document (SRD), Version 4, indicates on page II-16 that Release 2, item #1, functions include the ability for the system to cross report to several external agencies.</p> <p><b><u>Requirement</u></b></p> <p>The State must explain if the functionality described on page II-16 (Release 2, item #1) of the CWS/CMS System Requirements Document, Version 4, has been developed and implemented within CWS/CMS. If it has not, the State must indicate if and when this functionality is scheduled to be implemented within CWS/CMS. If the State does not intend for this functionality to be implemented in CWS/CMS, then it needs to provide a thorough explanation regarding why the functionality will not be included in the system, and what impact its exclusion from the system had on the CWS/CMS development and implementation costs.</p>						

State Draft Response Dated 2/1/00

The CWS/CMS has the ability to generate cross reports for use by external agencies. However, CWS/CMS referrals are not sent electronically to other agencies due to the fact that other agencies do not have statewide systems in place ready to interface with CWS/CMS. We will be able to cross report electronically to other agencies once other agencies automate their current processes and allow for an interface with their systems. It is not known when this will occur. Under SACWIS requirements, States are not required to

prepare and record referrals for other agencies electronically. Per CFR 1355.53 (d) States have the option of interfacing their SACWIS systems with other systems as appropriate. Per Action Transmittal # ACF-0SS-05, SACWIS interface requirements do not specify data elements that must be exchanged between state systems used to support programs administered under Titles IV-A, IV-D, XIX and state Child Abuse Neglect Data Systems.

In all the APDs submitted to the ACF, the State never committed to transmit referrals to other agencies electronically. The CWS/CMS Systems Requirements Document (SRD), Version 4, Release 2, item #1 (p. II-16), indicated that the system had to provide the ability to cross report to other agencies. However, the document noted above did not include details as to how CWS/CMS was going to cross report to other agencies. The State never intended to cross report electronically to external agencies. Further, page II-15 of the noted document, clearly indicates that cross reports are generated to the appropriate agencies prior to concluding the referral.

State Draft Response Dated 11/01/00

While the State and ACF agree that there is no federal requirement for electronic referrals, the CWS/CMS generates cross report documents for law enforcement agencies, among others, as State statute mandates a report of findings relating to child abuse. Local reference tables in CWS/CMS store data on the formal name, address and receiving office of law enforcement agencies in each county. The CWS/CMS includes templates on which all the relevant data concerning the abuse report and subsequent investigation is populated. The social worker must be logged on to the application and have the appropriate case open at the workstation. The social worker has the ability to select the name of the local agency to which the report should be directed. The system then populates the form with all the required data from the database. The resulting form must be printed and sent to the appropriate agency.

Law enforcement agencies in California are not able to receive electronically generated referral forms from CWS/CMS. Some law enforcement agencies in California scan forms that they receive into their local data processing systems. The scanning process currently requires that every form be uniform in its pagination and format. The CWS/CMS has the ability to produce a form of varying length based upon the number of related children for whom the report is required and the number of allegations of abuse against each child. Many of the local agency forms limit the number of allegations on a page. Electronically sent forms would require that multiple forms be sent due to the limitations of the receiving agencies. CWS/CMS staff analyzed interface requirements under CFR 1355.53 (d) and determined that electronic transmission to the multiple local agencies in California was not economically feasible.

Cross reports are required in every instance in which an allegation of physical child abuse is substantiated. At the time a social worker records that an allegation of physical abuse is substantiated, a tickle message is generated which appears when the social worker views the case in which the report is required. The social worker receives a warning message not to proceed with a case until the cross report has been generated. The social worker also sees the "Cross Report Needed for (Name of) Case" message when viewing the caseload listing. The process of generating the form allows the "tickle" message to be cleared.

The ACF may have misunderstood the States response regarding cross-reporting functionality. To further clarify, analysis during the design phase indicated that the number of police jurisdictions in California was so voluminous, consisting of 58 counties and numerous independent liaison law enforcement entities such as District Attorney Offices, Department of Justice Agencies and Probation Agencies, that maintaining connectivity to all jurisdictions (many of which are not automated) would not be practicable, efficient or economical. Currently functionality that meets federal requirements exists through the above methods. Once the case information is stored in the database, the Social Worker then directs the hard copy to the appropriate jurisdiction. Through this avenue the system provides the ability to cross report; the system

does not automatically send the information in an electronic format. In an effort to improve CWS/CMS, the state will continue to explore and make enhancements that support improved functionality including optional interfaces with external entities for the purpose of protecting California's abused and neglected children.

The State of California requests that this issue be closed. The State will inform ACF of enhancements to interfaces, including interfaces to law enforcement agencies through the APD process.

**7.(19) Collect and record further case information** — Describe how the automated system provides for the recording in the electronic case record of additional case information gathered during the assessment process.

*State Response:*

**Throughout the life of the referral and the case, the child caseworker can always add information in the client and contact notebooks.**

**All SACWIS requirements have been meet.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>{PRIVATE }Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**8.(20) Generate documents, notices and reports based on review as needed\*** — Describe how the automated system supports the generation of documents, notices, and reports during, or resulting from, the assessment process.

*State Response:*

**Please see ACF questions 3.(12) and State response above.**

**All SACWIS requirements have been meet.**

*Documentation References:*

<b>{PRIVATE }Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

## {PRIVATE }B. II: Eligibility

This function consists of determining programs for which funding support is available for clients receiving services. Program eligibility may include funding for foster care/adoption payments and determining the type of programs that will allow a client to receive Medicaid coverage. This function is usually initiated sometime during the Intake Function.

Goal: To provide efficient and effective system support for the identification and qualification of children for program funding.

### A: Initial Eligibility Determination





Goal: To provide automated support for the timely qualification of potential program beneficiaries.

**1.a.(21) Determine title IV-E eligibility \*** — How does the State use the automated system to support the determination of AFDC-related eligibility for title IV-E?

*State Response:*





The child caseworker inputs eligibility information on clients through the **CLIENT SERVICES** application, **Referral or Case folders**, **Client Management** section in the **FC2** eligibility application notebook and/or **SAWS1** application notebook.

The steps to accessing the **FC2** eligibility application notebook are shown below:

Step	CWS/CMS	Action
	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
	Open Existing Referral Folder  Or Case Folder 	1. Click the <b>Existing Referral</b> or <b>Case Folder</b> Notebook. 2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b> . 3. In the <b>Open this Referral</b> grid, click the desired Referral. Click <b>OK</b> .
Step	CWS/CMS	Action
	Create Notebook 	1. Click the <b>Client Management Section</b> icon (blue). 2. Click the <b>New FC2 Eligibility Application</b> Notebook. 3. The <b>Select Item to Create</b> grid will default to <b>FC2 Eligibility</b> Application. 4. In the <b>For this Client</b> grid, click the <b>desired client</b> . Click <b>OK</b> . 5. Review the <b>ID</b> Page and complete the <b>Income and Property</b> , <b>School/Work</b> , and <b>Insurance</b> Pages ( <u><b>CS.Ref/Case.b.FC2 eligibility application.1-4</b></u> )

	FC-2 Eligibility Application	6. Click the <b>File</b> Menu drop down. Click the <b>Print Report</b> Command. 7. In the <b>Area of Interest</b> drop down, click <b>Client Reports</b> . 8. In the <b>Report Name</b> drop down, click <b>Facts Supporting Eligibility for AFDC</b> . 9. Click <b>Print</b> .
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Below show the steps to accessing the SAWS1 application notebook.

Step	CWS/CMS	Action
	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
	Open Existing Referral Folder  or Case Folder 	1. Click the <b>Existing Referral</b> or <b>Case Folder</b> Notebook. 2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b> . 3. In the <b>Open this Referral</b> grid, click the desired Referral. Click <b>OK</b> .
7.1.17	Create Notebook  SAWS 1 Application for Cash Aid, Food Stamps, and/or Medi-Cal	1. Click the <b>Client Management Section</b> icon (blue). 2. Click the <b>New SAWS1 Application</b> Notebook. 3. The <b>Select Item to Create</b> grid will default to <b>SAWS 1</b> Application. 4. In the <b>For this Client</b> grid, click the <b>desired client</b> . Click <b>OK</b> . 5. Review the <b>ID</b> Page and complete the <b>Personal Emergency</b> Page ( <b>CS.Ref/Case.b.SAWS1 application.1-2</b> ) 6. Click the <b>File</b> Menu drop down. Click the <b>Print Report</b> Command. 7. In the <b>Area of Interest</b> drop down, click <b>Client Reports</b> . 8. In the <b>Report Name</b> drop down, click <b>Application for Cash Aid, Food Stamps, and/or Medi-Cal</b> . 9. Click <b>Print</b> .

Once these and other appropriate client notebooks are filled out, they populate the following eligibility reports and document:

CWS/CMS abbreviation	Title	SACWIS Number
AAP 4	Eligibility Certification for Adoption Assistance Program	SR_ADOPTIONS #2
FC 8	Federal Eligibility Certification for Adoption Assistance Program	SR_ADOPTIONS #3
AAP 2	Payment Instructions – Adoption Assistance	SR_ADOPTIONS #4
SAWS 1	Application for Case Aid, Food Stamps, and/or Medical Assistance	SR_CLIENT #1

	<b>Client Summary</b>	<b>SR_CLIENT #4</b>
<b>FC 2</b>	<b>Facts Supporting Eligibility for AFDC</b>	<b>SR_CLIENT #5</b>
	<b>History of Child Placement</b>	<b>SR_CLIENT #6</b>
<b>MC 250</b>	<b>Medi-Cal Application</b>	<b>SR_CLIENT #8</b>
<b>SOC 158A</b>	<b>Foster Child's Data Record and AFDC-FC Certification</b>	<b>SD_PLACEMENT #4</b>

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 7.1	CS.Ref/Case.b.FC2 eligibility application.1-4		SD_PLACEMENT #4	SR_ADOPTION S #2
	CS.Ref/Case.b.SAW S1 application.1-2			SR_ADOPTION S #3
				SR_ADOPTION S #4
				SR_CLIENT #1
				SR_CLIENT #4
				SR_CLIENT #5
				SR_CLIENT #6
				SR_CLIENT #8

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
<b>ACF Comments</b>				
<p><b><u>Finding</u></b></p> <p>Title IV-E eligibility is not supported by CWS/CMS. The State relies on a number of paper documents and redundant data collections in order to determine title IV-E eligibility. There does not appear to be a link between the client's eligibility recorded in the payment system and the information recorded in CMS/CWS. Furthermore, the payment systems used to record eligibility do not appear to update the information in the CMS/CWS system.</p> <p><b><u>Requirement</u></b></p> <p>It is ACF's expectation that the State's automation approach will be sufficient to achieve the following two goals.</p>				



1. Document the case data used to calculate an individual's eligibility in an automated information system so that it is available for independent review and audit. This provides a safeguard for ensuring accurate eligibility determinations and allows factors of eligibility data to be available to other child welfare professionals during the life of the case.
2. Ensure that all eligibility factors are consistently and accurately applied in every eligibility determination. Automation of the application of the eligibility rules and arithmetic calculations can eliminate much of the potential for error inherent in manual processes.

IV-A eligibility is based on the State Plan that was in effect as of July 16, 1996. The State's response should indicate its plans for determining IV-E eligibility and should also indicate whether the process and data in the system are available on the system for review and audit. To be SACWICS compliant, all eligibility factors must be applied consistently and accurately.

States may calculate AFDC eligibility (needed to determine title IV-E eligibility) in several different ways. Some possible methods are listed below.

- Include a title IV-E eligibility module in the TANF or former AFDC system - Potential advantages of this approach include the re-usability of existing programming from the former AFDC system.
- Build a simple module into SACWIS - The primary advantage of this approach is that all relevant information and functions are captured in one system.
- Considering that both the title IV-E and title XIX programs base program eligibility on the AFDC rules in effect as of 7/16/96, a State could create a stand-alone module that would be used by both the title IV-E and title XIX systems (with costs allocated to the benefiting programs). Under this approach, the applicable State systems could use the stand-alone module through an interface.
- Use the title XIX eligibility system. Title IV-E eligibility could be determined through an interface with the title XIX system if that system had a module capable of determining eligibility for AFDC as it was in effect in the Commonwealth on 7/16/96. The cost of the eligibility module would need to be allocated to the benefiting programs. This approach would allow States to leverage existing functionality and might mirror processes used before the enactment of PRWORA.

Other solutions may be proposed by a State; however, the rationale for any solution needs to be justified in terms of efficiency and cost-effectiveness.

The State is encouraged to examine the alternatives available to it before selecting the option that best meets its needs. The design of the eligibility module should be simple and straightforward. Additionally, the nature of the automation necessary to support this eligibility decision is significantly different from that which was needed to support the former AFDC program. For title IV-E eligibility, the system would only need to determine eligibility at set points in time (initially and for each redetermination), capture the factors considered in calculating eligibility, and ensure that the eligibility rules are applied uniformly to all clients.

Regardless of the approach taken, the system must be able to support the eligibility determination process in an automated fashion. The process should include the ability to record and track eligibility information as well as calculate the child's IV-E eligibility.

For title IV-E eligibility, there is not a federal requirement for a signature on an application. However, for Federal title IV-E eligibility purposes, a signature is required on court orders, voluntary placement orders, and voluntary relinquishments.

The system should be used to document the data used to establish an individual's complete title IV-E eligibility and to ensure that all eligibility factors are consistently and accurately applied in every

eligibility determination. Automation of the eligibility rules and arithmetic calculations should eliminate errors that may result from a manual process.

Title IV-E eligibility should start on the first of the month in which eligibility criteria are met. Federal financial participation is not available prior to that point.

The State's response and APD should be updated to reflect its approach for resolving this issue.

**Finding**

The Review Team learned that Los Angeles County has the authority for staff to enter SOC 158 data, Foster Child's Data Record and AFDC-FC Certification, on Juvenile Justice children directly into CWS/CMS. However, probation workers in all other counties are required to fill out paper SOC 158 forms, and send them to Sacramento where data entry staff input data on the forms into CWS/CMS.

**Requirement**

The State must add information to the SARG that thoroughly explains this process. Additionally, the State must provide the rationale for dual processes which allows/supports Los Angeles' County's ability to directly enter the SOC 158 data directly into CWS/CMS, while requiring the same data from all other counties to be submitted to Sacramento on a paper form, which is used for data entry. We need this additional information to make an informed assessment about statewide practices, processes, and system use.

**Finding**

The Review Team was told that probation workers fill out paper SOC 158 forms, Foster Child's Data Record and AFDC-FC Certification, which are mailed to Sacramento where data entry staff input data on the forms into CWS/CMS.

**Requirement**

California must explain the rationale for this type of duplicate data recording. Such duplicate data recording does not conform to SACWIS requirements.

State Draft Response #1 Dated 2/1/00

The CDSS is already exploring options for automating Title IV-E AFDC-FC eligibility determinations and has requested State funding for an analysis of alternatives. At a minimum, this comprehensive analysis will examine the four automation options identified by ACF in their SACWIS Review Guide. They are: a Title IV-E eligibility module in the TANF or former AFDC system; a simple eligibility module in SACWIS; a stand-alone eligibility module that could be used by both the Title IV-E and Title XIX systems; and the adaptation of the Title XIX eligibility system to make Title IV-E decisions.

Funding to procure a vendor for completion of this alternative analysis should be available by FY 2001. An impartial vendor will explore the benefits, costs and consequences associated with developing and implementing an automated system, and that analysis will serve as foundation for the requisite Feasibility Study Report, Advanced Planning Document Updates and any other State and federal approval documents. SACWIS requirements will be used as evaluation criteria for any such system, particularly the abilities to:

- Track the legal requirements related to eligibility
- Track a child's Title IV-E eligibility in an out of the home placement

- Record Title IV-E eligibility authorization decisions
- Redetermine Title IV-E eligibility and record redetermination decisions

This comprehensive analysis will be completed over the next two years, thereby permitting final design, development and implementation of an automated AFDC-FC eligibility system in State fiscal year 2002.

#### State Draft Response #2 Dated 2/1/00

The Review Team is correct in stating that Los Angeles County staff enter SOC158 data into CWS/CMS. More specifically, Los Angeles County Probation staff complete hard copies of county form Prob.667 containing SOC 158 data as well as additional data specific to Los Angeles County. Once completed, the Probation Department sends this form to the Welfare Department for input onto CWS/CMS. This enhanced SOC158 interface was designed by the current vendor under a direct contract with Los Angeles County. The remaining 57 County Probation Departments complete the SOC158 and submit them to the State for data entry. Functionally, all California County Probation Departments utilize the same basic procedural steps in populating the required AFCARS data within CWS/CMS. The rationale for differentiation between welfare and probation data entry is due to the fact that county probation staff do not have access to CWS/CMS. The State would like to assure ACYF that all children receiving IV-E benefits are provided the same protective services.

#### State Draft Response #3 Dated 2/1/00

It is California's goal to eliminate duplicative data entry. To this end, the CDSS is exploring options for the integration of CWS/CMS functionality and management of foster care cases by County Probation Departments. The CDSS anticipates that a Feasibility Study Report, with the accompanying approval documentation, could be completed by fiscal year 2002. The State also anticipates that such an undertaking will demand a close partnership with stakeholders and other interested parties; i. e., the Chief Probation Officers, Child Welfare Directors, State Legislature, local governments, labor groups, etc.

#### State Draft Response #1 Dated 11/01/00

The strategy for Title IV-E automation must fulfill two Federal requirements. First, the automated system must document the data used to establish an individual's complete Title IV-E eligibility in an automated information system so that it is available for independent review and audit. Further, the automated system is intended to ensure that all eligibility factors are consistently and accurately applied in every eligibility determination. To meet these Federal requirements, Title IV-E Eligibility Determination automation is proposed for implementation in 2004.

For California, the process of determining foster care eligibility is currently a process which is consistently applied according to the regulations; however, the data currently resides in two different systems: the California SACWIS, CWS/CMS, and a variety of TANF systems, as explained below. The data needed to determine complex eligibility factors are managed by highly trained eligibility technicians who are part of the welfare organization in the counties. Social workers in the State of California initiate the Title IV-E eligibility determination process, but it is documented by eligibility technicians. Four consortia operate the welfare income maintenance programs within California through their TANF systems:

- The 17 counties that use the Welfare Case Data System (scheduled to be replaced in 2002 - 2004 by CalWIN, which will include the 17 counties plus Ventura County)
- The 35 counties that use the ISAWS
- The four Consortium IV (C-4) counties (scheduled for implementation in 2003 - 2004)
- Los Angeles County

California considers automation of foster care eligibility determination to be of high priority. Factors affecting priority include the schedules of the CalWin and C-4 consortia for development of systems that will include eligibility determination and the need for those counties to convert from legacy systems that currently support IV-E. The implementation schedule for the CalWIN consortium includes a pilot in the last quarter of 2002. C-4's addition of foster care eligibility determination is scheduled to begin development in 2001 with roll out of the case management phase targeted for first quarter 2004.

In order to determine the approach for automating Title IV-E eligibility determination to meet the federal requirements, the California Department of Social Services (CDSS) undertook an alternatives analysis in July 2000. The alternatives analysis reviewed each of the alternatives presented in the Action Transmittal #ACF-OSS-05 and reviewed the feasibility of converting the local business processes to each of the alternatives. The alternatives considered were:

- Develop an eligibility module in an AFDC/TANF system (California's SAWS systems)
- Build an eligibility module in CWS/CMS
- Create a stand-alone module
- Use a state's Title XIX (Medicaid) system.

The alternatives analysis eliminated the option of using California's Title XIX system (MEDS) because it does not include any eligibility determination functionality and is an outdated architecture with limited functionality.

CDSS has reviewed the analysis of the other alternatives. In consultation with the counties, CDSS has selected an alternative that takes into consideration programmatic and operational factors. The conceptual approach for the proposed solution will be based on these assumptions:

- Continue to support the current IV-E automated eligibility tracking, payment and interface functionality in Los Angeles County's foster care system, APPS
- Build an interface to electronically transmit SACWIS required information between CWS/CMS and ISAWS
- Develop enhanced IV-E eligibility functionality in C-4 and CalWIN, including a CWS/CMS interface

This approach builds on the existing functionality in ISAWS and Los Angeles. Los Angeles County, representing 45% of the statewide IV-E caseload, has developed a set of automated systems and interfaces for payment and claim processing.

The proposed approach for IV-E eligibility determination also capitalizes on the rule-driven approach to eligibility determination being developed in the CalWIN and C-4 projects. This approach avoids the significant level of work needed to develop a stand-alone system or incorporate the eligibility functionality into CWS/CMS. Inclusion of IV-E eligibility with other eligibility determination systems such as CalWORKS, Medi-Cal, Food Stamps, and General Assistance supports delivery of comprehensive family services in a relatively seamless workflow across multiple federal, State, and local programs. In most cases, staff that

determine IV-E eligibility use the TANF system in their county. Using the existing county systems will enhance user acceptance and avoid errors.

Additional studies are needed to determine estimated costs for implementing the proposed solution. Some preliminary information is available as a result of the alternatives analysis conducted by CDSS. The vendor under contract for the CalWIN consortium has stated that IV-E eligibility functionality can be added to that system at no additional cost since the rules for IV-E eligibility are identical to Title XIX eligibility rules. The C-4 vendor projects moderate additional costs in the range of \$500,000 based on similarities between IV-E and Title XIX eligibility functionality. The costs of ISAWS have not been determined. The CWS/CMS costs to automate interfaces to each of the four TANF systems are assumed to be within the \$10M annual application maintenance budget. If the strategy for IV-E Eligibility Determination is accepted, then plans will be submitted to allocate costs to the benefiting programs for development efforts in the four TANF systems.

State Draft Response #2 Dated 11/01/00

The ACF contends that the 2/1/00 response sufficiently responds to this requirement. Therefore, this issue is resolved.

State Draft Response #3 Dated 11/01/00

The CWS/CMS Oversight Committee will be discussing probation and how to proceed during SFY 2000-01. Depending upon the timing of this decision and how it aligns with State and federal control agency processes, the State may be able to proceed in 2001-02.

**1.b.(22)How does the State use the automated system to record/track the legal requirements (judicial determination) related to IV-E eligibility? \***

*State Response:*

**The report "Facts Supporting Eligibility for AFDC" collects information on Deprivation. The document "Foster Child's Data Record and AFDC-FC Certification" records the date and reason for removal from home, dates of petitions, detention orders, disposition orders and the legal authority code and effective date.**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier		Reminder Identifier	Document Identifier	Report Identifier
				SD_PLACEME NT #4	SR_CLIENT #5
{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:

### ACF Comments

#### **Finding:**

The System does not track the legal requirements necessary to determine title IV-E eligibility. Furthermore, the actual determination of whether the consumer meets the legal requirements for IV-E eligibility is a manual process. This functionality does not conform to SACWIS requirements.

#### **Requirements:**

The system must be modified to ensure automated Title IV-E eligibility includes assessment of the legal requirements. The system must determine eligibility based on all applicable data, rather than having the worker make the determination.

The State staff indicated that they are in the process of adding a component that will record the legal determination, including check boxes to record whether the appropriate language (e.g., reasonable effort, contrary to the welfare of the child, and in the best interest of the child) is included in the court order. The State should note that it is ACF's expectation that the system will use this information in an automated eligibility determination process. The State should describe its plans to automate this component of the title IV-E eligibility process in its response and in an IAPD Update.

State Draft Response Dated 2/1/00

Please refer to the response to 1.a.(21), State Draft Response Dated 2/1/00.


State Draft Response Dated 11/01/00




Please refer to the response to 1.a.(21), State Response Dated 11/01/00.


#### **1.c.(23)How does the automated system determine/track a child's IV-E eligibility in an out of the home placement (e.g., type of facility, license status, etc)? \***

*State Response:*

**The child caseworker inputs placement information on clients through the CLIENT SERVICES application, Referral or Case folders, Placement Management section, placement homes notebook. Step 7.1.8 below illustrates how the child caseworker gets a history of the child's placements.**

Step	CWS/CMS	Action
7.1.5	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.

7.1.6	Open Existing Referral  or Existing Case 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Referral</b> or <b>Existing Case</b> Folder.</li> <li>2. The <b>Select Item to Open</b> drop down will default to <b>Referral</b> or <b>Case</b>.</li> <li>3. In the <b>Open this Referral or Case</b> grid, click the <b>desired Referral</b> or <b>Case</b>. Click <b>OK</b>.</li> </ol>
7.1.8	Review Child Placement History	<ol style="list-style-type: none"> <li>1. To re-open the Referral or Case, click the <b>File</b> drop-down menu. Then select it from the bottom of the File menu.</li> <li>2. Click the <b>File</b> Menu drop down, click the <b>Print Reports</b> command.</li> <li>3. In the <b>Area of Interest</b> drop down, click <b>Client Reports</b>.</li> <li>4. In the <b>Report name</b> grid, click <b>History of Child Placement</b>. Click <b>Print</b>.</li> <li>5. The <b>Item to Select</b> drop down will default to <b>Client</b>.</li> <li>6. In the <b>Select this Client</b> grid, click the <b>desired Client</b>. Click <b>OK</b>.</li> <li>7. In the <b>History of Placements</b> dialog box, click <b>beginning and ending dates</b> of history requested. Click <b>OK</b>.</li> </ol>
7.1.10	Create Placement Home Notebook 	<ol style="list-style-type: none"> <li>1. Click the Placement Management Section icon (red)</li> <li>2. Click the New (+) Placement Home Notebook.</li> <li>3. Complete the <b>ID, Address, Other Children, Other Adults</b> and <b>Payee</b> Pages as appropriate. <u>(CS.Ref/Case.placement home.1-4 &amp; 9)</u></li> </ol>

Step	CWS/CMS	Action
7.1.12	Create Placement Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Placement</b> Notebook.</li> <li>2. The <b>Select this Item to Create</b> drop down will default to <b>Placement</b>.</li> <li>3. In the <b>For this Client</b> grid, click the <b>desired Client</b>.</li> <li>4. In the <b>Select this Placement Home</b> grid, click the desired home. Click <b>OK</b>.</li> <li>5. Complete <b>ID</b> Page. The <i>Child Removal Information</i> field will be populated by information in the <b>Temporary Custody Notebook</b>. <u>(CS.Ref/Case.placement.1)</u></li> <li>6. Complete the <b>Rationale, *Ongoing Requests, and *Incidental Payments</b> Pages <u>(CS.Ref/Case.placement.3,6&amp; 7)</u>.</li> </ol>

The Ongoing Request and Incidental Payments pages track Title IV-E payments.

The report “Facts Supporting Eligibility for AFDC” section 21: “What is the authority for the child’s out-of-home placement?” is populated with information from the above referenced notebooks.

The document “Foster Child’s Data Record and AFDC-FC Certification” records the date and reason for removal from home as well as the current placement facility, data of current placement, ending date of previous placement, number of placements in the case, facility type, and license information of facility.

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 7.1	CS.Ref/Case.placement home.1-4 & 9		SD_PLACEMENT #4	SR_CLIENT #6
	CS.Ref/Case.placement.1			SR_CLIENT #5
	CS.Ref/Case.placement.3, 6 & 7			

{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The system does not evaluate the status of the out of home placement in determining title IV-E eligibility. Eligibility is tracked off-line and not supported by CWS/CMS.</p> <p><b><u>Requirement</u></b></p> <p>The system must be modified to automatically evaluate a placement provider's license status as part of the total IV-E eligibility determination process.</p> <p>The State must provide additional information to describe how the system will be modified to support this functional requirement.</p>						

State Draft Response Dated 2/1/00

Please refer to the response to 1.a.(21), State Draft Response Dated 2/1/00.

State Draft Response Dated 11/01/00





Please refer to the response to 1.a.(21), State Response Dated 11/01/00.

**2.(24) Verify eligibility for other programs** \* — How does the automated system provide for the exchange and referral of information necessary to determine eligibility/status under other related programs such as title XIX (Medicaid) and title IV-D?

*State Response:*



The steps to accessing the Medi-cal application notebook are shown below:

Step	CWS/CMS	Action
	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
	Open Existing Referral Folder  or Case Folder 	1. Click the <b>Existing Referral</b> or <b>Case Folder</b> Notebook. 2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b> . 3. In the <b>Open this Referral</b> grid, click the desired Referral. Click <b>OK</b> .
	Create Notebook   Medi-cal Application	1. Click the <b>Client Management Section</b> icon (blue). 2. Click the <b>New Medi-cal Application</b> Notebook. 3. The <b>Select Item to Create</b> grid will default to <b>Medi-cal Application</b> . 4. In the <b>For this Client</b> grid, click the <b>desired client</b> . Click <b>OK</b> . 5. Review the <b>ID Page</b> and complete the <b>Information Page</b> ( <b>CS.Ref/Case.b. Medi-cal application.1-2</b> ). 6. Click the <b>File</b> Menu drop down. Click the <b>Print Report</b> Command. 7. In the <b>Area of Interest</b> drop down, click <b>Client Reports</b> . 8. In the <b>Report Name</b> drop down, click <b>MediCal Application</b> . 9. Click <b>Print</b> .

The report “Facts Supporting Eligibility for AFDC” and the document “Foster Child’s Data Record and AFDC-FC Certification” are populated with information from the above referenced notebook as well as other applicable system notebooks.

The information in this report and document provides the vehicle to exchange data between the child caseworker and the eligibility worker. This data is necessary to establish a child support case.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref/Case.b. Medi- cal application.1-2		SD_PLACEME NT #4	SR_CLIENT #8
				SR_CLIENT #5

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>The system does not support this functional requirement. Eligibility for other programs is supported through manual paper processes that require redundant data recording. The State must provide additional information to describe how the system will be modified to support this functional requirement</p> <p><b><u>Requirement</u></b></p> <p>CWS/CMS must be modified to support the automated exchange or referral of information with automated systems that support other related programs, such as Titles XIX and IV-D.</p>						

State Draft Response Dated 2/1/00

#### **Title IV-D Interface**

The CWS/CMS was designed with the capability to interface with a statewide child support system. However, this capability can not be activated at the present time due to the fact that a statewide child support system is not yet operational. Currently, all 58 counties use one of 16 child support systems to operate the Title IV-D program. Any such interface would require excessive time and resources. Thus, it would not be "practicable" for CWS/CMS to interface with all 16 systems. Per Federal Action Transmittal Memo #ACF-OSS-05 the "interface requirement doesn't have to be met if the responding system is not capable of an exchange or where cost constraints make such an interface unfeasible." The State is committed to activate the CWS/CMS interface capability with a statewide child support system as soon as one becomes operational and available. In the interim, the State is exploring the possibility of using CalSERV, a proposed data-sharing communication system, as a vehicle for exchanging information with the Title IV-D Systems. The CalSERV Project is currently in the planning phase, and we anticipate an IAPDU to be submitted for federal review by February 2000. The IAPDU will provide more information on CalSERV and its relation to Title IV-D.

#### **Title XIX**

The CWS/CMS allows users to query and view different screens (read-only capability) from the Title XIX system known as the Medi-Cal Eligibility Determination System (MEDS). However, CWS/CMS and MEDS users can not update each other's systems. As above, the State is committed to exploring this interface capability to the extent necessary and practicable. The State will explore the possibility of using CalSERV as a vehicle for exchanging information with CWS/CMS and MEDS.

State Response Dated 11/01/00

SACWIS requirements address the need to exchange information between a SACWIS and State systems used to support programs administered under Titles XIX (Medi-Cal), IV-A (TANF), and IV-D (Child Support Enforcement).

California's comprehensive eligibility programs, including IV-A, are administered through four county consortia:

- The 17 counties that use the Welfare Case Data System (scheduled to be replaced in 2003 by CalWIN, which will include the 17 counties plus Ventura County)
- The 35 counties that use the Interim Statewide Automated Welfare System (ISAWS)
- The four Consortium IV (C-4) counties (scheduled for implementation in 2003)
- Los Angeles County

Title XIX is known as Medi-Cal in California. Counties administer Title XIX as part of a comprehensive eligibility determination process. Eligibility is determined by using a separate module of the county TANF system, which sends an index of eligible clients to a shared database (MEDS). No separate interface is needed for Title XIX systems.

California is in the process of developing the CalSERV interface middleware to support exchange of information among SAWS and related systems to replace the multiplicity of interfaces that now exist. In the interim, an interface to IV-A (TANF) is planned for implementation in 2003. The first CalSERV TANF interface is planned for 2004. Subsequently, other major statewide systems will be added to CalSERV. The existing interface between CWS/CMS and Los Angeles County's foster care system, Automated Provider Payment System (APPS), will continue until the CalSERV interface with LEADER is implemented, most likely in 2005. CWS/CMS interfaces to the CalSERV middleware are also expected in 2005.

The statewide Child Support Enforcement system (Title IV-D) has not yet been implemented. Child Support Enforcement system interfaces would most likely be implemented in 2005 through CalSERV.

Developing interfaces between CWS/CMS and the other State information systems will provide an economical and efficient method of exchanging information between these systems. This will allow the State to coordinate services to children and families with other federal, State, and local welfare programs, reduce duplication of data, and avoid unneeded paperwork. The ability to exchange information will benefit social workers, eligibility technicians, and others responsible for providing services, determining eligibility, and performing financial management. CDSS's goal is to address the need for interfaces in a timely and cost efficient manner, taking into account the status of other initiatives related to each of the aforementioned programs and the long-term plans for the SAWS CalSERV middleware as a single point of interface. Where possible and cost-effective, interfaces will be built prior to the CalSERV deployment in order to provide the interface benefits as soon as possible.

California's vision for interfaces is a phased approach. The long-term plan is to interface CWS/CMS to the SAWS CalSERV middleware. Until this is accomplished, interfaces will be implemented directly to the consortia systems, according to their schedules.

CWS/CMS users have the capability to access the Title XIX Medi-Cal system (MEDS) via terminal emulation. Because Title XIX is locally administered and eligibility is documented in the TANF systems, there are no plans to alter this process. In the near-term, development would be undertaken to add automated CWS/CMS interfaces with IV-A (ISAWS, CalWIN, and C-4) according to each consortium's respective project schedules. CWS/CMS was designed with the capability to interface with a statewide child support enforcement system (IV-D). However, this capability can not be activated until California's statewide child support system is operational. At the present time, the counties utilize 16 interim systems with different record layouts operating on different platforms. Developing 16 different temporary interfaces

would not be practicable, efficient, or economical. Developing an interface to IV-D systems will be delayed until the final phase of interface development.

The final phase of interface development will use CalSERV. The CalSERV middleware project will allow the four welfare consortia systems and other related systems, like CWS/CMS, to electronically exchange data and enable data sharing between the systems. The communications component will facilitate the exchange of information, as appropriate, for eligibility, anti-fraud and case management purposes. This component will route data among the SAWS consortia and related systems and will provide for growth to allow for subsequent communication with other welfare-related systems.

By providing standard interfaces, transactions and common access methods, the CalSERV middleware project will provide the capability for all counties to directly interface with other State systems. This level of access will:

- Reduce the time currently required to build interfaces to multiple systems
- Eliminate the need to change local interfaces in response to changes in other systems
- Eliminate the need for each county and/or State/federal agency to develop custom point-to-point interfaces in order to share information.

The first phase costs of developing the interfaces between CWS/CMS and ISAWS, CalWIN, and C-4 are assumed to be within the \$10M annual application maintenance budget. Developing the interface to CalSERV will also be done within this \$10M annual application maintenance budget. If this interfacing strategy is accepted, then plans will be submitted to allocate costs to the benefiting programs for development efforts in the target systems.

The CalSERV Project is currently in the planning phase. The IAPDU for CalSERV will be submitted for federal review after the State budget review process during SFY 2000/2001. It is anticipated that CWS/CMS use of CalSERV will be operational in 2005.

**3.(25) Record authorization decisions** \* — Describe how the automated system provides for the recording of the eligibility authorization decisions.

*State Response:*

**Once the eligibility caseworker has made the eligibility authorization decisions, the Title IV-E eligibility is recorded on the Medi-cal application notebook, Information page, (CS.Ref/Case.b.medi-calapplication.2).**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref/Case.b.m			

	edi-cal application.2			
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{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>Staff reported that eligibility history is maintained in a paper case folder. The system captures current data. The link between the eligibility information recorded in the payment system and the CWS/CMS is dependant on paper processes. Reviewers determined that the eligibility codes in the payment systems and CWS/CMS are not consistently synchronized.</p> <p><b><u>Requirement</u></b></p> <p>The State must develop a process to ensure that the CWS/CMS system accurately reflects the current eligibility status of the individual in question.</p>						

State Draft Response Dated 2/1/00

Please refer to the response to 1.a.(21), State Draft Response Dated 2/1/00.

State Response Dated 11/01/00

Please refer to the response to 1.a.(21), State Response Dated 11/01/00.

**4.(26) Generate documents related to eligibility determinations** \* — Describe how the automated system produces the Reminders/ticklers, documents, and reports needed to provide information on and track the initial eligibility determinations.

*State Response:*

**The system does not have any reminders for the initial eligibility determination.**

**Once the appropriate notebooks are filled out, they populate the following eligibility reports and document. All the documents and reports referenced are user initiated.**

CWS/CMS abbreviation	Title	SACWIS Number
AAP 4	Eligibility Certification for Adoption Assistance Program	SR_ADOPTIONS #2
FC 8	Federal Eligibility Certification for Adoption Assistance Program	SR_ADOPTIONS #3
AAP 2	Payment Instructions – Adoption Assistance	SR_ADOPTIONS #4
SAWS 1	Application for Case Aid, Food Stamps, and/or Medical Assistance	SR_CLIENT #1
	Client Summary	SR_CLIENT #4

FC 2	Facts Supporting Eligibility for AFDC	SR_CLIENT #5
	History of Child Placement	SR_CLIENT #6
MC 250	Medi-Cal Application	SR_CLIENT #8
SOC 158A	Foster Child's Data Record and AFDC-FC Certification	SD_PLACEMENT #4

## DOCUMENTS

CWS/CMS requires the child caseworker to generate documents in order to proceed through the referral or case process. Also, generating required documents clears reminders. Documents are saved as Word files and may be accessed any time during the process.

## REPORTS

CWS/CMS requires the child caseworker to generate reports in order to proceed through the referral or case process. Also, generating required reports clears reminders. When a report is generated, the report fields are automatically updated with the current database values. A report is a snapshot in time. Reports are printed out but not saved with the referral or case

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
			SD_PLACEMENT #4	SR_ADOPTION S #2
				SR_ADOPTION S #3
				SR_ADOPTION S #4
				SR_CLIENT #1
				SR_CLIENT #4
				SR_CLIENT #5
				SR_CLIENT #6
				SR_CLIENT #8

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						


## B: Changes in Eligibility




Goal: To provide automated support for the timely identification of children whose eligibility changes, or whose eligibility must be redetermined.

**1.(27) Redeterminations** \* — Describe how the automated system provides for the processing of regularly scheduled and as needed program redeterminations and recording of redetermination decisions.

*State Response:*

**Upon receiving CWS/CMS reminders (see ACF questions 2.(28)) or redetermination information, the child caseworker should review the client notebook and update the AFDC eligibility.**

7.8.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
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Step	CWS/CMS	Action
7.8.3	Update Existing Referral Folder  or Case Folder 	<ol style="list-style-type: none"> <li>1. Click the <b>Search</b> Menu drop down. Click <b>Start Search</b> command.</li> <li>2. Click Search Type, <b>Client</b>.</li> <li>3. Double-click on the row of the Client you wish to update.</li> <li>4. Look at the <b>Case History</b> Page to determine if the Placement was in a case or referral.</li> <li>5. Click the <b>Associated</b> Menu drop down. Click <b>Open Associated Referral or Case</b>, as appropriate</li> </ol>
7.8.4	Review Client Notebook for Aid Code 	<ol style="list-style-type: none"> <li>1. Click the <b>Client Management Section</b> icon (blue).</li> <li>2. Click <b>Existing Client</b> Notebook.</li> <li>3. The <b>Select Item to Open</b> drop down will default to <b>Client</b>.</li> <li>4. The <b>For this Referral or Case</b> grid will default to <b>Client</b>.</li> <li>5. In the <b>Open this Client</b> grid, click <b>desired client</b>. Click <b>OK</b>.</li> <li>6. Review the <b>ID Number</b> Page (<b>CS.Ref/Case.b.client.2</b>).</li> <li>7. Review the State ID Number and <i>Aid Code</i> fields</li> <li>8. To change the Aid Code, click the Aid Code field and select the correct Aid Code.</li> </ol>
7.8.5	Update AFDC Eligibility	<ol style="list-style-type: none"> <li>1. Click the <b>Client Management Section</b> icon (blue).</li> <li>2. Click <b>Existing Client</b> Notebook.</li> <li>3. The <b>Select Item to Open</b> drop down will default to <b>Client</b>.</li> <li>4. The <b>For this Referral or Case</b> grid will default to <b>Client</b>.</li> <li>5. In the <b>Open this Client</b> grid, click <b>desired client</b>. Click <b>OK</b>.</li> <li>6. Click <b>AFDC-FC</b> Page. Review Page (<b>CS.Ref/Case.b.client.11</b>). Update data if appropriate</li> </ol>

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 7.8	CS.Ref/Case.b.client.2			
	CS.Ref/Case.b.client.11			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The re-determination process is a manual process relying on paper documents and redundant data entry.</p> <p><b><u>Requirement</u></b></p> <p>The State must provide additional information to describe how the system will be modified to support this functional requirement. See notes on Questions 21-23.</p>						

State Draft Response Dated 2/1/00

Please refer to the response to 1.a.(21), State Draft Response Dated 2/1/00.

State Response Dated 11/01/00

Please refer to the response to 1.a.(21), State Response Dated 11/01/00.

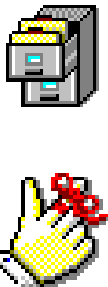


**2.(28) Generate documents related to eligibility determinations** \* — Describe how the automated system produces the Reminders/tickers, notices, and reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status. Is the Child Welfare Worker reminded to changes made in the title IV-A, IV-D and XIX systems (the mandatory interfaces)?

*State Response:*

**To view reminders:**

Step	CWS/CMS	Action
5.3.2	View Reminders	1. Click <b>CASELOAD</b> application on CWS/CMS Control Panel.



	<p>in Caseload Application</p> 	<ol style="list-style-type: none"> <li>Click the <b>Reminder</b> Folder.</li> <li>The <b>Select Item to Open</b> drop down will default to Reminder.</li> <li>In the <b>For this Caseload</b>, click the desired caseload. Click <b>OK</b>.</li> <li>In the <b>Open this Reminder</b> grid, click the desired reminder. Click <b>OK</b>.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>Use the <b>Filter</b> button to limit the list.</li> <li>Reminders for an entire caseload can be viewed and printed from the Caseload Application.</li> </ul>
5.3.3	<p>View Reminders in Client Services Application</p> 	<ol style="list-style-type: none"> <li>Click <b>CLIENT SERVICES</b> icon (either on CWS/CMS control panel <u>or</u> in Caseload Application).</li> <li>Click the <b>Existing Referral</b> or <b>Case</b> Folder.</li> <li>Click the <b>Referral</b> or <b>Case Management Section</b> button (<b>green</b>).</li> <li>Click the <b>Reminder</b> Notebook.</li> <li>The <b>Select Item to Open</b> drop down will default to Reminder.</li> <li>In the <b>Open this Reminder grid</b>, Review. Print if desired.</li> <li>Click <b>Cancel</b> to close the dialog box.</li> </ol>
5.3.4	<p>Create Reminder Notebook</p> 	<ol style="list-style-type: none"> <li>Click the <b>Existing Referral</b> or <b>Case</b> Folder.</li> <li>Click the <b>Referral</b> or <b>Case Management Section</b> button (<b>green</b>).</li> <li>Click the <b>New (+) Reminder</b> Notebook.</li> <li>Complete the <b>ID</b> Page (<b>CS.Ref/Case.g.reminder.1</b>).</li> <li>Click the <b>File</b> Menu drop down. Click the <b>Save to Database</b> command.</li> <li>In the Confirmation Dialog Box, click <b>Yes</b> to save.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>User defined reminders can only be created for a specific referral or case <u>and</u> when in the Client Services application.</li> </ul>

Two reminders are automatically generated by CWS/CMS to ensure changes and updates in eligibility status are made.

**“AAP Recertification Due”:** If a child has **Adoption Assistance Agreement** that has not been 'Deferred' and System Date is 120 days or less before the **Agreement End Date** then Create a **AAP Recertification Due** reminder setting the due date to **Adoption Assistance Agreement End Date**.

**“FC Eligibility Redetermination Due”:** If Intervention Reason is not **ICPC Request** and a child has **AFDC Eligibility** that has not been terminated and Case or Referral is not closed and the child is not a participant in a placement episode with one of the following agency responsible types: **County Probation Department, Indian Child Welfare, Out of State Agency, Private Adoption Agency** or **State Adoptions District Office**, create a **FC Eligibility**

**Re-determination Due reminder, setting the due date to re -determination date + 6 months, if it exists, otherwise use date + 6 months. If the date or re -determination date changes, the reminder must be modified. Once again, all the documents and reports shown below are user initiated.**

CWS/CMS abbreviation	Title	SACWIS Number
AAP 4	Eligibility Certification for Adoption Assistance Program	SR_ADOPTIONS #2
FC 8	Federal Eligibility Certification for Adoption Assistance Program	SR_ADOPTIONS #3
AAP 2	Payment Instructions – Adoption Assistance	SR_ADOPTIONS #4
SAWS 1	Application for Case Aid, Food Stamps, and/or Medical Assistance	SR_CLIENT #1
	Client Summary	SR_CLIENT #4
FC 2	Facts Supporting Eligibility for AFDC	SR_CLIENT #5
	History of Child Placement	SR_CLIENT #6
MC 250	Medi-Cal Application	SR_CLIENT #8
SOC 158A	Foster Child's Data Record and AFDC-FC Certification	SD_PLACEMENT #4

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref/Case.g.reminder.1)	#3 & # 11	SD_PLACEMENT #4	SR_ADOPTION S #2
				SR_ADOPTION S #3
				SR_ADOPTION S #4
				SR_CLIENT #1
				SR_CLIENT #4
				SR_CLIENT #5
				SR_CLIENT #6
				SR_CLIENT #8

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

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## {PRIVATE }B. III: Case Management

This function entails the preparation of service plans, determining whether the agency can provide the services, authorizing the provision of services, and managing the delivery of those services.

Goal: To provide system support for the efficient and effective administration of the processes necessary to ensure that the child welfare services agency identifies, communicates, evaluates and monitors the services which will ameliorate the conditions necessitating agency involvement and ensure the safety of the child.

### A: Service / Case Plan


Goal: To provide a mechanism where the needs of the child/children/family and the services necessary to resolve the problems are maintained and tracked to an appropriate outcome, including estimated time frames for completion of the services.


**1.(29) Prepare and document service/case plan \*** — Describe how the automated system supports the development of case plans for children and families by documenting services that are required to meet the specific needs identified in the assessment function. The State's response should address how the SACWIS supports case plan development in the following areas:

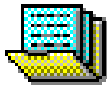
- Adoption (record and track information about adoptive placements and post-adoptive services, including subsidy benefits);
- Family preservation (institute in-home services to prevent the need for placement);
- Foster care (determine and track level of care, placement information, reunification services, legal requisites);
- Independent living (determine and track services to provide transitional living assistance for State foster care youths); and
- Interstate compact (process/submit supervision requests from/with other states for children and youth).

*State Response:*

**To create a case, the child caseworker must first open all the cases of the children who will be part of the case plan.**

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.

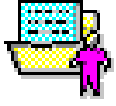
5.1.3	Update Existing Case 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Case</b> Folder.</li> <li>2. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b>.</li> </ol> <p><b>Note:</b> Repeat this step for all siblings who will be part of the same Case Plan.</p>
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Step	CWS/CMS	Action
5.1.4	Create <i>New</i> Case Plan Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Case Plan</b> Notebook.</li> <li>2. In the <b>Select New Case Plan Participants</b> Dialog Box, click each focus child's name in the <i>All Related Clients</i> field; then click the upper <b>Add</b> to move their names to the <i>Focus Child</i> field. (The name of the child whose case you are working in will already be listed in this field.)</li> <li>3. In the <b>Select New Case Plan Participants</b> Dialog Box, click the other participants' names in the <i>All Related Clients</i> field; then click the lower <b>Add</b> to move their names to the <i>Other Participants</i> field. (This includes other children in the family who do not have an open CWS/CMS case.)</li> <li>4. For an <i>Initial (new)</i> Case Plan, you do not enter information onto the <b>ID Page (CS.Case.g.case plan.1)</b>. When your supervisor approves the Case Plan, CWS/CMS will enter the date of approval as the <i>Effective Date</i> of the Case Plan and add the Review Date (6 months). <ul style="list-style-type: none"> <li>• Complete the <b>Case Focus Children</b> Page (<b>CS.Case.g.case plan.2</b>) by selecting a <i>Case Plan Goal</i>, entering a <i>Goal Projected Completion Date</i>, and completing the <i>Adoptability</i> field for each Case Focus Child.</li> <li>• Review the <b>Other Case Plan Participants</b> Page (<b>CS.Case.g.case plan.3</b>). You can add or delete case participants.</li> <li>• Do not complete the <b>Planned Services</b> Page of the case plan notebook before completing the <b>Participant Profile Notebooks</b> for this family.</li> </ul> </li> </ol>

**CWS/CMS goals are : Adoption, Adoption With Sibling(s), Legal Guardianship, Long Term Foster Care with Non-Relative, Long Term Foster Care with Relative, Remain Home, Return Home, Maintain minor with Guardian, and Self-Maintenance**

**For each participant in the Case Plan the child caseworker must enter at least one in the Participant Profile Notebook:**

- **Service Objective**
- **Contributing Factor**
- **Family Strength**

Step	CWS/CMS	Action
5.1.5	Create Participant Profile Notebook  	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Participant Profile</b> Notebook.</li> <li>2. In the <b>Select Item to Open</b> drop down, click <b>Participant Profile</b>.</li> <li>3. In the <b>For This Case Plan</b> grid, click the <b>desired Case Plan</b>.</li> <li>4. Complete <b>all</b> relevant fields on <b>each</b> page (<b>CS.Case.g.participant profile.1-3</b>) (Select <i>Receive Age Appropriate Services</i> as a <i>Service Objective</i> for each focus child. Additional <i>Service Objectives</i> may be selected, but this one is mandatory. The <i>Projected Completion Date</i> field is mandatory for each <i>Service Objective</i>. Select at least one <i>Contributing Factor</i> and at least one <i>Family Strength</i>. Click <b>OK</b>.</li> <li>5. Repeat action #4 for <b>each Case Plan Participant</b>.</li> </ol>

CWS/CMS “Service Objectives” are:

- Able and willing to have custody
- Accept disclosure made by child
- Acquire adequate resources
- Allow victim confrontation
- Arrange child care/support during absence
- Do not use physical punishment
- Do not neglect your child's needs.
- Do not physically abuse your child.
- Do not sexually abuse your child
- Control anger/negative behavior
- Eliminate danger to physical health
- Know age appropriate expectations
- Do not abuse alcohol
- Do not abuse drugs
- Do not break the law
- Maintain long term placement for the child(ren)
- Maintain placement with potentially legal guardian
- Maintain suitable residence for child(ren)
- Monitor child’s health, safety, and well-being
- Monitor/correct child's behavior
- Obtain/Finalize Adoption
- Obtain/Finalize Guardianship Requirements
- Obtain/Maintain legal source of income
- Other Service Objective
- Positive interaction during child visits
- Prepare for independent living
- Protect child from emotional harm

- **Protect child from physical abuse**
- **Protect child from sexual abuse**
- **Provide appropriate/adequate parenting**
- **Provide care for child's special needs**
- **Provide emotional support for child**
- **Receive age appropriate services**
- **Take responsibility for actions**
- **Protect child from contact with abuser.**
- **Refrain from domestic violence**
- **Protect yourself from abusive partner**
- **Stabilize mental health**
- **Assure school attendance**
- **Attend school regularly**
- **Complete homework**
- **Child to abide by placement rules**
- **Child to cooperate w/ child welfare worker**
- **Will remain in school until graduation/G**
- **Will complete vocational training**
- **Maintain problem free school behavior**
- **Improve basic self care grooming, dressing, hygiene**
- **Acquire basic skills to seek employment**
- **Treat others with respect**
- **Develop supportive interpersonal relationships**
- **Have no contact with child**
- **Acquire shopping, budgeting, many mgt. skills**
- **Acquire basic cooking skills**
- **Comply with visitation**
- **Comply with court orders**

**CWS/CMS “Contributing Factors” are:**

- **Abusive behavior indicates escalating risk**
- **Child born with drugs in his/her system**
- **Child’s behavior affects parents’ ability to cope**
- **Child’s disability affects parents’ ability to cope**
- **Lack of parent/child bonding/involvement**
- **Lack of housekeeping knowledge/skills**
- **Lack of hygiene knowledge/skills**
- **Parent does not control anger**


- Parent has no support systems
- Parent lacks parenting skills
- Parent disability/health hinders ability to parent
- Parent skills hindered by alcohol abuse
- Parent skills hindered by drug abuse
- Parent skills hindered by immaturity
- Parent has inadequate resources to meet needs
- Parent mental health hinders ability to parent
- Parent has a history of abusive behavior
- Parent has a history of being abused
- Parent develop disability hinders ability to parent
- Minor mother cannot live with parents
- Parent unable to cope due to family/personal crisis
- Parent unable/unwilling to supervise child
- Parent not cooperative indicates risk to child
- Parent lacks conflict resolution skills
- Parent has lack of job skills
- Parent has poor impulse control
- Parent is codependent and affects parenting
- Parent has unsafe associations/activities in home
- Family has no income
- Family lacks a safe home
- Family boundaries rigid/punitive
- Parenting role reversed between parent and child
- Child at risk due to isolation by caretaker
- Child has no caretaker
- Child's behavior threatens siblings
- Child's association affects parents' ability to supervise child

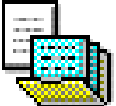
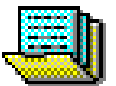
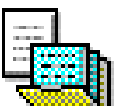
**CWS/CMS "Family Strengths" are:**

- Absent parent supportive
- Childcare adequate
- Housing adequate
- Personal hygiene adequate
- Medical care adequate
- Income source adequate
- Awareness of age appropriate development
- Appropriate involvement with child



- Clean/safe home and yard
- Cooperative
- Employed
- Extended Family/Friend Support
- Goal Setting/Planning Skills
- Emotionally healthy
- Physically healthy
- Good Parent/Child Bonding
- Parenting Skills
- Self-esteem
- Social skills
- Insight into family problems
- Intact family
- Law-abiding
- Motivated to solve problems
- No known prior abuse/neglect record
- Disciplines appropriately
- Free from alcohol/drug dependency
- Positive attitude
- Realistic expectations of child
- Relates appropriately to parents/adults
- Transportation Available
- Community support utilized
- Willingness to accept services
- Willingness to change
- Child doing well in school

Step	CWS/CMS	Action
5.1.6	Complete Case Plan (Planned Services) 	1. Click the <b>Existing Case Plan</b> Notebook. 2. Click the <b>Planned Services</b> Page ( <b>CS.Case.g.case plan.5</b> ). Complete this page by clicking on the (+) in the upper left corner of the Planned Services grid for each service. <ul style="list-style-type: none"> <li>• Each Case Plan Participant must have at least one Planned Service.</li> <li>• Include the required monthly contacts with children, parents, and Substitute Care Providers.</li> </ul>

Step	CWS/CMS	Action
5.1.7	Create/Print Case Plan Family Assessment Document 	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Document - Case Plan</b> Notebook.</li> <li>2. In the <b>Documents to Generate</b> drop down, click Case Plan Family Assessment.</li> <li>3. Review/complete document as appropriate. You can add information, such as, <i>Results of Previous Services, Health/Medical Needs, and Family's Perception of their needs.</i></li> </ol>
5.1.8	Create/Print Child Welfare Services Initial Case Plan Document	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Document - Case Plan</b> Notebook.</li> <li>2. In the <b>Documents to Generate</b> list, click Child Welfare Services Case Plan.</li> </ol>
5.1.9	Request Supervisor Approval of Case Plan 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Case Plan</b> Notebook.</li> <li>2. Click the <b>Action</b> Menu drop down. Click the <b>Approval</b> Command. In the Approval Detail Dialog Box, <b>Approval Status</b> drop down, click <b>Pending Approval</b>. Enter an Action Date and rationale for approval, as appropriate.</li> </ol>
5.1.10	Edit Case Plan When Supervisor Indicates (Requires Modification) 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Document Case Plan</b> Notebook.</li> <li>2. The <b>Select Item to Open</b> drop down will default to Case Plan.</li> <li>3. In the <b>For this Case Plan</b> grid, click desired Case.</li> <li>4. In the <b>Open this Document - Case Plan</b> grid. Single click the desired Case Plan. Click <b>Remove</b>.</li> <li>5. In Dialog Box re: if you remove this row, you cannot replace it with the Undo command. Proceed? Click <b>Yes</b>.</li> <li>6. Click <b>Cancel</b></li> <li>7. Return to appropriate step(s) to make requested modifications. <ul style="list-style-type: none"> <li>• Step 5.1.5 to modify service objective, contributing factor, and strength.</li> <li>• Step 5.1.7 to create a new Case Plan Family Assessment document.</li> <li>• Step 5.1.6 to modify Planned Services.</li> <li>• Step 5.1.8 to create a new CWS Case Plan Document.</li> <li>• Request approval of Modified Case Plan (See Step 5.1.9)</li> </ul> </li> </ol>

All SACWIS requirements have been met.

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>{PRIVATE }Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
<b>PUM 5.1</b>	<b>CS.Case.g.case plan.1-3 &amp; 5</b>		<b>SD_CASEPLAN #1</b>	
	<b>CS.Case.g.participant profile.1-3</b>		<b>SD_CASEPLAN #2</b>	

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Observations:</u></b></p> <p>The State is congratulated on productivity aids that have been implemented, e.g., Case Wizard and the ability to produce a case plan in Spanish.</p> <p><b><u>Finding</u></b></p> <p>All case plan data is not routinely entered into CWS/CMS. System generated AFCARS data based on case plan information will not reflect the current case information.</p> <p><b><u>Requirement</u></b></p> <p>The State must ensure that CWS/CMS contains data that is necessary and used for AFCARS reporting.</p> <p><b><u>Finding</u></b></p> <p>The system provides very limited support for Adoption case management. However, the State indicated that it is working on the Adoption component of the system.</p> <p><b><u>Requirement</u></b></p> <p>The State must explain its plans and timeframe for developing and implementing complete adoption case management functionality. As with the other areas of the system requiring further development, these plans should be included in the State's Advance Planning Document Update.</p> <p><b><u>Finding</u></b></p> <p>The system does not document the services that are required to meet the specific needs identified in the assessment function.</p> <p><b><u>Requirement</u></b></p> <p>CWS/CMS must be modified so that assessed needs are linked to individual and family goals and outcomes. The State must provide additional information to describe how and when the system will be modified to support this functional requirement.</p> <p><b><u>Finding</u></b></p>						

Staff indicated that they had to substantiate a finding in order to authorize a service in a Family Preservation case. A number of staff noted that they would therefore process the case outside of CWS/CMS in order to avoid falsely substantiating a finding. Processing case plans and services outside of CWS/CMS does not conform to SACWIS statewide requirements.

**Requirement**

The State must modify CWS/CMS to support authorization of services without the substantiation of an allegation, as appropriate per State and Federal rules and policies.

**Finding**

If a case is not closed in a timely manner, staff need to update case plans for a period after the case was to be closed before the case can actually be closed.

**Recommendation**

The State may want to examine ways to avoid forcing staff to complete unnecessary case actions prior to the closure of a case.

State Draft Response #1 Dated 2/1/00

The State shares ACF's goal of ensuring that case information is routinely entered into CWS/CMS. To this end, the provision of more CWS/CMS user training and continued improvement to the current CWS/CMS system will help make certain that all AFCARS data is entered into CWS/CMS. As for user training, the 1999/00 budget includes \$10.8 million for continued and refresher worker training on the use of CWS/CMS. This represents an increase of \$6.8 million over last year's allocation for training on CWS/CMS. Realizing the importance for continued CWS/CMS user training, the State is currently pursuing a budget item for CWS/CMS user training for the next fiscal year.

The CWS/CMS continues to undergo significant changes to capture all the AFCARS data. The Court Management Section, for instance, is being modified and updated to better capture the AFCARS data required. In August 1999, the State delivered updated versions of redesigned court report templates. Subsequent changes to the court management component of the application will be made at the end of January 2000 in an ongoing effort to facilitate use of the application.

In addition to modifying the court section of the application, the State implemented (August 1999) an AFCARS Navigation Tool, which takes the users to all of the AFCARS required fields. Similarly, the State implemented a Case Plan Navigation Tool (January 1999), which "auto-navigates" the user through the application to the specific location of particular data elements necessary to complete a Case Plan. Other efforts to ensure that all the necessary AFCARS data is entered into CWS/CMS include the following future modifications to the existing system:

- Develop and implement the ability for CWS/CMS to generate an AFCARS foster care report that breaks down by county the level of compliance with AFCARS reporting requirements (January 4, 2000).
- Analyze the possibility of making all the AFCARS fields green for greater visibility (no implementation date has been set as this change to CWS/CMS is currently being analyzed).

Develop and implement the ability for CWS/CMS to generate adoption AFCARS reports on an individual county basis (no implementation date has been set as this change to CWS/CMS is currently being analyzed).

State Draft Response #2 Dated 2/1/00

A task force of state, county, and private vendor staff has started discussion on these issues relating to expanded adoption functionality. The resulting draft products outline the new system requirements that propose to expand and develop adoption case management functionality. Among the proposed system features are the recording and tracking of adoption assessments and dispositions, post adoption services, program management reports, additional templates, and items related to Concurrent Planning. Given the lengthy State budget process and the federal "soft-freeze" on CWS/CMS enhancements until a follow-on vendor is selected, CDSS anticipates several years for approvals, funding, design, and implementation. The ongoing work will serve as foundation for subsequent Feasibility Study Reports, Advanced Planning Document Updates, and other requisite documents.

State Draft Response #3 Dated 2/1/00

The State observes that no automated tool can exclusively serve as the linkage between assessment, case plan development and realization of goals. With this in mind, the CWS/CMS application was designed and is utilized to document identified service needs and case goals. However, the ACF finding and requirement appear to mandate programming that automatically identifies and links services from assessed needs to outcomes. The State does not find support for this requirement in SACWIS regulation, but did consider such functionality during application design. However, the programming logic proved far too complex, and would not result in improved service or outcomes, only complications. For example, one service may address several needs. Provision of family counseling may improve interactions between parents, and between parents and children. It may also enhance the parent's understanding of developmental stages and appropriate behaviors for their child(ren). In other cases, multiple services may be needed to achieve one goal. Equally important, the State does not wish to limit the ability of social workers to develop case plans that are tailored individually to the needs of the client. Existing reviews by line supervisors, judicial staff and State consultants provide ample opportunity for evaluating the appropriateness of offered services and their coherence with stated goals and outcomes.

State Draft Response #4 Dated 2/1/00

In the 4.1 release, RTS 5050 provides a change that will allow for provision of preventive services. The social worker will record that the child has a substantial risk of neglect or abuse; and that will be sufficient for the continuation of services. They will no longer have to substantiate that abuse or neglect has already occurred.

State Draft Response #1 Dated 11/01/00

As above, the State continues to share ACF's goal of ensuring that case information is routinely entered into CWS/CMS. To this end, the provision of more and improved training and continued enhancement of the current system will prove key elements of the State's plan for entry of all AFCARS data into CWS/CMS. The State Fiscal Year 2000/2001 budget includes \$13 million for staff development training on the use of CWS/CMS.

Training needs for the CWS/CMS continue to evolve as the application goes through the typical lifecycle of any information system. The maturing of the application, as well as the evolving needs of the users, require that training be re-evaluated so that the training provided supports the long term goals and strategy of all stakeholders. Stakeholders consist of the State of California Department of Social Services (CDSS), the State CWS/CMS Project Office, 58 County Social Services Departments, and the 15,000 users and end users of the CWS/CMS application. The Maintenance and Operations Vendor is proposing a range of training alternatives

which are designed to meet the identified training requirements of the CWS/CMS stakeholders and support the long term goals of the project. Based upon three years of historical data, the following areas have been identified as areas that training input would prove most beneficial in fiscal year 2000/01:

**New Users:** Because there are approximately 3,372 users in counties that rely on CWS/CMS training, a 15% annual turnover rate, approximately 505 users will need to attend introductory training on how to use the CWS/CMS application.

**Statewide Curriculum Maintenance:** The maintenance of a statewide curriculum is necessary so that training is consistent throughout the State. This curriculum maintenance occurs after every major release of the application and also, to provide an annual opportunity to review the effectiveness of the curriculum.

**Alternative Delivery Vehicles:** Training over the Internet is proposed as an alternative delivery mechanism for traditional classroom training.

**Advanced Training:** An integral part of each county's CWS/CMS support system is advanced users who assist novice users on an informal basis. Advanced Training has been identified as a method to keep these workers current with changes to the CWS/CMS system.

**County Access to Data:** Understanding CWS/CMS data is one of the key tactical requirements for counties as county access to data increases. Training in this area is vital, ensuring the integrity of data, and will assist the counties retrieve data from the database appropriately.

**Statewide Training Region:** A Statewide Training Region is necessary to provide counties with a tool that would enable them to train their users on the CWS/CMS application.

Also, pursuant to the Budget Act of 2000, CDSS has worked collaboratively with members from the County Welfare Directors Association and with labor groups representing social workers in reaching an agreement in the definition of full utilization. Based upon that definition, to include the scope of functionality and specific required data elements, the Budget Act of 2000 augmented \$125,932,000 overall funds available to counties certifying full utilization of all required mandatory AFCARS fields. The State has further explored color coding the AFCARS required fields for greater visibility. Color coding the AFCARS data elements would better enable supervisors and program managers to identify necessary data during case reviews and was targeted to be effective October 1, 2000.

#### State Draft Response #2 Dated 11/01/00

The State has completed work on a draft Feasibility Study Report that is being reviewed internally. Supporting Budget Change Proposals (BCPs) are being prepared to augment the program staff at CDSS to oversee the development of adoptions case management. CWS/CMS has also initiated a supporting BCP to add technical staff to CWS/CMS, to augment the budget for technical expertise and to provide vendor costs for additional functionality to support adoptions workers. The document will be forwarded to ACF for review when complete.

#### State Response # 3 Dated 11/01/00

As above, the State first observes that no automated tool or computer program can substitute for professional social work judgement when identifying necessary services for children and families. The CWS/CMS is a tool that assists the child welfare services worker make sound case decisions and recommendations, but does not and can not replace the case work professional.

The new format and presentation of the assessment and case plan document the linkage between client needs, goals and outcomes. The CWS/CMS allows the social worker to record family problems, needed services and the goals of services provided each time that an assessment is performed and a case plan is developed. This is particularly critical in large counties where different social workers record referrals, investigate referrals, perform court investigations and handle ongoing caseloads. It is also critical when there is large turnover in social services staff. A social worker may use assessment information that was collected by different social workers at different times during different periods of family intervention to build a case plan. CWS/CMS further supports case plan and service goals by providing for consistent and on-going documentation of needs and goals. Prior to implementation of CWS/CMS, social workers had only handwritten case notes or local forms to document problems identified during assessment. There were innumerable problems with the organization of case information and retrieval of relevant data. These problems were exacerbated when families moved from jurisdiction to jurisdiction since the hard copy case file was retained in the county of case origin. With a standardized methodology for recording client and family information, CWS/CMS reinforces the need to address all family problems via the case plan document. The assessment information is used to populate the case plan document, which is reviewed by the supervisor and the responsible judicial officers in each case.

In California, all case reviews are judicial reviews and all jurisdictions require that the case plan be submitted to and approved by the court as part of the agency report to the court. Each case is heard and reviewed no less often than every six months. The findings and orders made by the court are directly related to the recommendations for services prepared by the social worker. In addition, all parties to the court action in California have legal representation. Each child has separate legal representation and, in some cases, each parent has separate representation as well. After reading the court report and case plan prepared by the social worker, the attorneys for each of the parties to the action, including the judicial officer, may question the social worker about the contents of the case plan or other information in the report to the court. This requires testimony under oath by the social worker concerning the relevance of the assessment to the services recommended and the case plan goals.

The CWS/CMS supports this process by assisting each social worker to document, track and retrieve the relevant information about a family over time. The information cannot be lost or misplaced from the database. All previous case plans and court documents are linked to the case. Documents can be retrieved and reviewed multiple times by social workers and supervisors. The CWS/CMS also documents those problems for which services are not available, and those services that had been provided to the family which failed to ameliorate the condition of risk to the child.

State Draft Response #4 Dated 11/01/00

This change was made to CWS/CMS in June 2000. This change allows for the provision of preventive services. The social worker records that the child has a substantial risk of neglect or abuse; and that will be sufficient for the continuation of services. They will no longer have to substantiate that abuse or neglect has already occurred. The state requests that this item be closed.

**2.(30) Identify and match services to meet client's case plan needs** — Describe how the system provides automated support in the identification and matching of service needs and available resources.

*State Response:*

**In the “Service” grid of the Planned Services Page (CS.case.g.case plan.5), the child caseworker enters the “Service Category” and “Service Type”. The CWS/CMS Service Categories and Service Types are listed below.**

<b>Service Categories</b> <b>Service Types</b>	<b>Case Management</b>	<b>CHDP Well/Child</b>	<b>Counseling</b>	<b>Education</b>	<b>Family Preservation</b>	<b>Health Services</b>	<b>Independent Living Program</b>	<b>Placement Services</b>
24hrSuprvsn(Resdnc,Schl,Comnty)								X
Access to Community Resources							X	
Aftercare								X
Arrange and Maintain Placement	X							
Arrange CHDP Medical Transportation		X						
Arrange Emergency Shelter Care	X							
Arrange Legal Consultation	X							
Arrange Non-CHDP Dental						X		
Arrange Non-CHDP Medical						X		
Arrange Non-CHDP Vision						X		
Arrange Service Delivery	X							
Arrange Transportation	X							
Arrange Transportation For Dental		X						
Arrange Visitation	X							
Awake Night Staff								X
CHDP Equivalent Physical Exam		X						
CHDP Medical Visit		X						
CHDP Physical Exam		X						
CHDP Required Dental Exam		X						
Current Service Provider						X		
Discharge Plans								X
Emergency Shelter Care								X



Service Categories Service Types	Case Management	CHDP Well/Child	Counseling	Education	Family Preservation	Health Services	Independent Living Program	Placement Services
Foster Care								X
FP-Auxiliary Request					X			
FP-California Children Services					X			
FP-Child Care					X			
FP-Counseling					X			
FP-Drug Treatment					X			
FP-Emergency Care					X			
FP-Employment and Training					X			
FP-HealthCare					X			
FP-Housing					X			
FP-Income Support					X			
FP-Parent Training					X			
FP-Regional Center Services					X			
FP-Respite Care					X			
FP-Special Education					X			
FP-Substitute Role Model					X			
FP-Teaching and Demo					X			
FP-Transportation					X			
General			X					
ILP-Career/Job Guidance							X	
ILP-Consumer Skills							X	
ILP-Home Management							X	
ILP-Housing Options/Locations							X	
ILP-Interpersonal/Social Skills							X	
ILP-Time Management							X	
ILP-Transportation							X	
Medication Management								X
NonCHDP Physical Exam		X						
One-to-one Supervision								X
On-Ground School								X
Other	X							

<b>Service Categories</b> <b>Service Types</b>	<b>Case Management</b>	<b>CHDP Well/Child</b>	<b>Counseling</b>	<b>Education</b>	<b>Family Preservation</b>	<b>Health Services</b>	<b>Independent Living Program</b>	<b>Placement Services</b>
Parent Training				X				
Perform Case Planning Activities	X							
Plan Contact	X							
Provide CHDP Medical Information		X						
Provide Crisis Intervention	X							
Provide Dental Information		X						
Provide Medical Consent	X							
Psychiatric/Psychological Evaluation						X		
Referrals to community resources	X							
Respite Care								X
Schedule CHDP Dental		X						
Schedule CHDP Medical		X						
Sexual Abuse			X					
Structured Envrnmnt/BehaviorMgmt								X
Substance Abuse(inpatient)			X					
Substance Abuse(outpatient)			X					
Substance Abuse Testing						X		
Teaching And Demo Homemakers				X				
Temporary In-Home Caretakers				X				
Therapeutic Day Services			X					
Therapeutic Milieu								X
Transport Client	X							

**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	CS.case.g.case plan.5			

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Finding:</u></b></p> <p>CWS/CMS was found not to have adequate functionality to facilitate the automated identification and matching of a client's service needs to available resources. The Review Team found that the CWS/CMS System Requirements Document (SRD), Version 4, page II-16, Release 2, #6, indicates that the system must be able to support an automated matching of social workers skills and specialties to those needed by a specific client. Additionally, the SRD contains a requirement on page II-40, under Release 1 Functions, #1, that the system must be capable of performing criteria based matching of children to placement alternatives with regard to the child's sex, age, and special needs.</p> <p><b><u>Requirement</u></b></p> <p>The State must explain if the functionality described on page II-16 (Release 2, item #6) and page II-40 (Release 1, #1) of the CWS/CMS System Requirements Document, Version 4, has been developed and implemented within CWS/CMS. If it has not, the State must indicate if and when this functionality is scheduled to be implemented within CWS/CMS. If the State does not intend for this functionality to be implemented in CWS/CMS, then it needs to provide a thorough explanation regarding why the functionality will not be included in the system, and what impact its exclusion from the system had on the CWS/CMS development and implementation costs.</p>						

State Draft Response Dated 2/1/00

In relation to page 11-16 (Release 2, Item #6) the state has chosen a limited implementation of the support necessary for automated identification and matching of service needs and available resources. More to the point, the System Requirements Document (SRD) source referenced in the SACWIS Review Report concerning automated matching between clients and social work staff is outdated. The process to initiate a change to the document is underway. As this is part of the contract between IBM Global Services and the State of California, the process will be detailed and a corrected copy of the SRD will be forwarded to the Administration for Children, Youth and Families. During the design of Release 2 of CWS/CMS, this functionality was analyzed with business experts who determined that the process would not enhance services to children.

The judgement of social services supervision is used to make case assignments and many factors enter into that judgement.

The CWS/CMS has the ability to record the special skills and abilities of staff persons, including language skills and special areas of expertise. The areas of expertise include those requiring special training (such as HIV counseling, adoptions) as well as those in which the worker has demonstrated special ability or completed training (working with pregnant minors or disabled children or parents). In addition, to access this information, CWS/CMS has a function called Assignment Match. This allows a staff person who is responsible for making assignments, such as a supervisor, to search for staff persons who are not at the maximum case load, who are located in a particular office, who have skills in (up to) five languages and (up to) five specialties. This may be used to return a set of persons to meet the needs of a client or clients. The assignments can be made using these factors and others.

The capabilities described in SRD, page II-40 (Release 1, #1), were designed, developed, and implemented in Release 1. The system is thus capable of performing criteria-based matching of children to placement alternatives with regard to the child's sex, age, and special needs. This functionality is described in 5.(33) with screen prints and descriptions. The document indicates that the functionality met the SACWIS requirement.

State Draft Response Dated 11/01/00

The State response should have been marked "NO". The ACF will table this issue.

The State did not intend for this functionality to be included in the CWS/CMS system as an automated function. As outlined above, matching client/child services and needs to the skill of the social worker would not be feasible for automation. The best resource or viable tool to perform this function is the social worker through assignment management, which occurs at the supervisory level. The supervisor has the ability to monitor case plans and assign cases specific to varying criteria. As previously referenced, assignment of cases is based on factors which include, but are not limited to, social worker caseload, and the ability of CWS/CMS to record special skills and abilities of social workers, such as, language skills and special areas of expertise. Vacation schedules, sick leave, geographic considerations of client/cases and logistics are also key factors in determining case assignments. It is at the discretion of the supervisor that assignments are made based upon multiple complex factors, which simply can not be automated without creating a constrictive environment for county staff at an enormous cost. Additionally, the State would expect serious opposition to this functionality from county line staff, supervisory staff and organized labor unions. Resource Management is a function reserved only for authorized staff which enables the supervisor to best match the social worker skills and determine how to best meet the needs of the client. Management and staff have the ability to select a criteria based matching of children to placement alternatives which enables 1) management to select the social worker best suited to a specific child/client needs and 2) enable the social worker to best serve the child/client.

**3.(31) Record contact with and acquisition of needed resources/services** — Describe how the automated system supports and records the preparation of necessary service requests or referrals.

*State Response:*


**The CLIENT SERVICES application, Case or Referral folder, Service Management section is also used to document contacts, services, and visits. These terms are defined as:**



**Contacts - any scheduled, attempted or completed contact (written, phone or in-person) between the Social Worker and a client, collateral, service provider, substitute care provider, etc.**


**Services** - specific services delivered or offered to the client by the child caseworker or service provider. Services are recorded with the contact where the child caseworker offered the service or learned that services had been provided.

**Visits** - contacts between the child and siblings, parents, grandparents and/or other relatives. These can be unsupervised or supervised. Visits are recorded at the same time as the Contact where the child caseworker follows up on attempted or completed visits or schedules the visits.




To document a contact perform the following steps:


Step	CWS/CMS	Action
3.1.2	Start CWS/CMS 	1. Click on the <b>Client Services</b> icon.

Step	CWS/CMS	Action
3.1.3	Open Existing Referral  <b>OR</b> Case Folder 	1. Click the <b>Existing Referral Folder</b> or <b>Case Folder</b> . 2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b> . 3. In the <b>Open this Referral</b> grid, click the desired referral. Click <b>OK</b> .


3.1.4	<p>Create New Contact Notebook</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Service Management</b> Section icon (orange).</li> <li>2. Click the <b>New (+) Contact</b> Notebook.</li> <li>3. In the <b>Select On Behalf Of Child</b> grid, click the <b>desired child(ren)</b>. Click <b>OK</b>.</li> <li>4. Complete the <b>Contact Page</b> (<u><a href="#">CS.Ref/Case.o.contact.1</a></u>). Document the contact in the <i>Narrative</i> field. If you gathered Health, Visit, or Services information, that detail should be entered on the <b>Associated Services Page</b> (<u><a href="#">CS.Ref/Case.o.contact.2</a></u>), <b>Associated Visits Page</b> (<u><a href="#">CS.Ref/Case.o.contact.2</a></u>), in the <b>Health Notebook Pages</b> (<u><a href="#">CS.Ref/Case.b.health.1-5</a></u>) and <b>Education Notebook Pages</b> (<u><a href="#">CS.Ref/Case.b.education.1&amp;2</a></u>), as appropriate; and just make reference to the item in the <b>Contact Page</b> narrative. The <i>Status</i> field of the <b>Contact Page</b> should be marked <b>Completed</b> if you had contact with the Substitute Care Provider and if you did not receive and/or provide information.</li> <li>5. Complete the <b>Associated Services Page</b> (<u><a href="#">CS.Ref/Case.o.contact.2</a></u>) when the Social Worker is informed of or is involved in attempted or completed visits (between the child and relatives.) Click the (+) button in the upper left hand corner of the Associated Services grid to add information. You need to click the (+) in the grid for each service you are describing.</li> </ol> <p><b>Notes:</b> Search for a Service Provider or Collateral before creating a “new” Service Provider or Collateral.</p>
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To enter a service provider perform the following steps:

Step	CWS/CMS	Action
3.2.1	<p>Start CWS/CMS</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Client Services</b> icon.</li> </ol>
3.2.2	<p>Open Existing Referral Folder</p>  <p>or</p> <p>Case Folder</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Referral</b> or <b>Case Folder</b> Notebook.</li> <li>2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b>.</li> <li>3. In the <b>Open this Referral</b> grid, click the desired Referral. Click <b>OK</b>.</li> </ol>
3.2.3	<p>Search for Service Provider</p>	<ol style="list-style-type: none"> <li>1. Click the <u><a href="#">Search</a></u> Menu drop down. Click the <b>Start Search</b> command.</li> <li>2. Click Search Type <b>Service Provider</b>.</li> <li>3. Complete the appropriate search criteria. Click <b>OK</b>.</li> <li>4. If you do not find the Service Provider, go to 3.2.4.</li> </ol>

3.2.4	Create New Provider Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>Services Management Section</b> button (orange).</li> <li>2. Click the <b>New (+) Service Provider</b> Notebook.</li> <li>3. Complete mandatory fields for the <b>ID Page</b> (<u>CS.Ref/Case.o.service provider.1</u>).</li> <li>4. Complete the <b>Address Page</b> (<u>CS.Ref/Case.o.service provider.2</u>) if you have the information.</li> </ol>
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To document the services being provided perform steps in 3.1.4 above. Services must be entered first in the contact notebook, associated services page, then CWS/CMS can generate a report to document these client services in the “Delivered Services Log”.

Step	CWS/CMS	Action
3.3.1	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
3.3.2	Print Delivered Service Log	<ol style="list-style-type: none"> <li>1. Click the <b>File</b> Menu drop down, click the <b>Print Report</b> command.</li> <li>2. Click <i>Area of Interest</i> field and select <b>Services Report</b>.</li> <li>3. Click the Report Name <b>Delivered Services Log</b>.</li> <li>4. Click <b>Select Item to Open</b> click <b>Referral</b> or <b>Case</b>. Click <b>Load</b>.</li> <li>5. Select the desired referral or case for the report to be printed. Click <b>OK</b>.</li> <li>6. Complete the <i>Date Range</i> fields and select the Delivered Service Log item in the Delivered Services Select Filter Box. Click <b>Apply</b>.</li> </ol>

CWS/CMS can also document special needs/problems through the “Health and Education Passport” and/or the “Request for Confirmation of Child’s Status As An Indian” documents.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 3.1-3	CS.Ref/Case.o.contact.1 & 2		SD_CLIENT #1	SR_SERVICES #1
	CS.Ref/Case.b.health.1-5		SD_CLIENT #2	
	CS.Ref/Case.b.education.1&2			
	CS.Ref/Case.o.service provider.1 & 2			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Findings:</u></b></p> <p>System does not produce the referral. Staff produce referrals off-line. The System does not track service authorizations. Reviewers were told that there is a planned change to add referrals to CWS/CMS</p> <p><b><u>Requirement</u></b></p> <p>The State must update its response to describe planned changes in this functional area. The State must also make any required updates to its APD to describe cost and schedule implications of these changes.</p>						

State Draft Response Dated 2/1/00

Scheduled for 4.2 is a change (RTS 6913) that will populate County templates from CWS/CMS. Most counties utilize their own versions of Referrals for Services and this will allow the Referrals to populate from the database and to be connected to a specific Case/Referral.


State Response Dated 11/01/00

Scheduled for Winter, 2000 is a change (RTS 6913) that will populate County templates from CWS/CMS. Most counties utilize their own versions of Referrals for Services and this will allow the Referrals to populate from the database and to be connected to a specific Case/Referral. This change will be made provided federal funding approval for the entire \$10 million annual application maintenance budget is timely received.


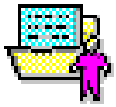
**4.(32) Track and update service/case plan \*** — Describe how the automated system supports the monitoring, progress, and update of the service/case plan in the electronic case folder.

*State Response:*

**As state above, the contact notebook is used to track services. To update a case plan, the child caseworker must open the case plan “in effect”, evaluate each “Service Objective” and enter the status of each “Service Objective”.**

Step	CWS/CMS	Action
	Start CWS/CMS 	1. Click on the <b>Client Services</b> icon.
5.2.2	Open Existing Case	1. Click the <b>Existing Case</b> Folder. 2. The <b>Select Item to Open</b> drop-down will default to Case. 3. In the <b>Open this Case</b> grid, click desired case. 4. Repeat actions 1-3 for each case focus child participant in the Case Plan in effect.



		
5.2.3	<p>Update Service Objectives Information (In Participant Profile Notebook)</p> 	<ol style="list-style-type: none"> <li>1. In the <b>Create Case Plan</b> dialog box, click the <b>Update</b> option button. Select Case Plan Participants. Click on the appropriate boxes to copy Service Objectives, Contributing Factors, and Family Strengths from previous plan, if desired, to new case plan. (You will be able to use the Case Plan Update dialog box to include the service objectives and services from the previous case plan.)</li> <li>2. Click the <b>Existing Participant Profile</b> Notebook.</li> <li>3. In the <b>Select Item to Open</b> drop down, click <b>Participant Profile</b>.</li> <li>4. In the <b>For this Case Plan</b> grid, click the <b>desired Case Plan</b>.</li> <li>5. In the <b>Open this Participant Profile</b> grid, click the <b>desired client</b>. Click <b>OK</b>.</li> <li>6. Review and complete <b>Service Objectives Page</b> (<u><b>CS.Case.g.participant profile.1</b></u>), Goals Met Section, Address all Service Objectives for all participants and describe progress (or lack of it) in the <i>Progress</i> field.</li> </ol>

All SACWIS re quirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	(CS.Case.g.participant profile.1)			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b>Observation</b></p> <p>The State is congratulated on the way in which this functionality has been implemented. This has resulted in less duplicate data entry.</p>						

**5.(33) Match client to placement alternatives, if needed**— Describe how the system provides automated support in the identification and matching of clients with available placement alternatives.

*State Response:*

CWS/CMS placement terminology is defined below.

**7.1 Relative Placement**

Use for any placement not requiring the Substitute Care Provider to be licensed.

**7.2 Foster Care Placements**

**Includes Foster Family Homes, Foster Family Agency Certified Homes, Receiving Homes, and Group Homes (a.k.a. Residential Homes).**


**7.3 Non-Foster Care Placement**

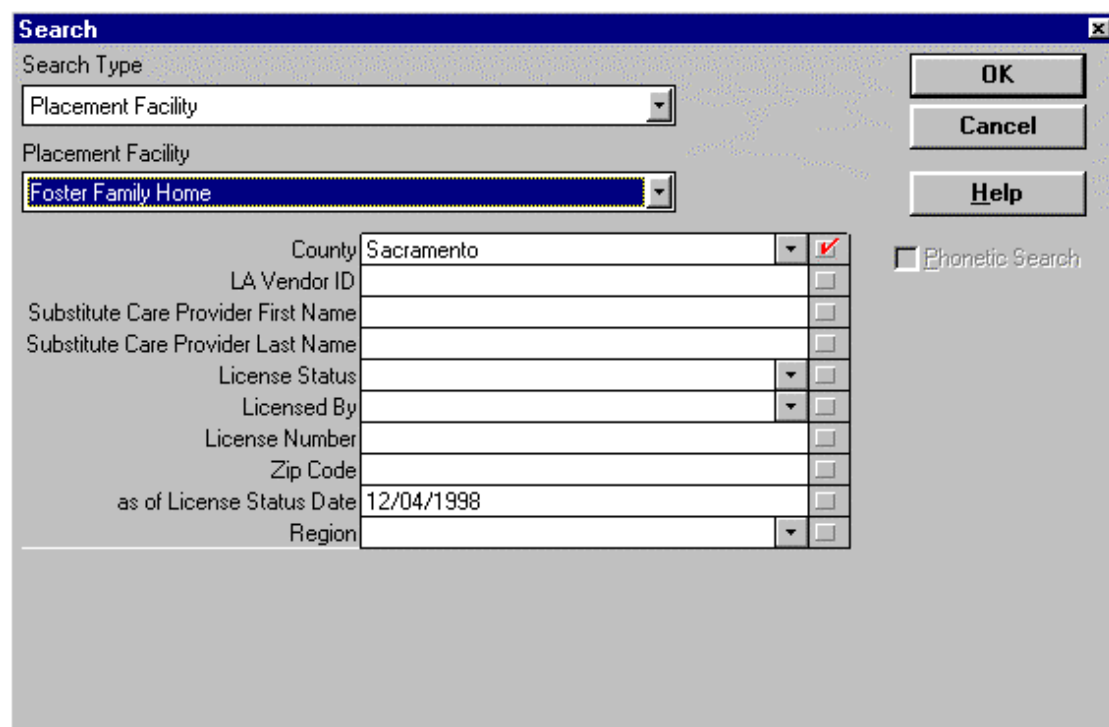
Use only to record child's incarceration or placement in a medical facility. These placements do not generate AFDC-FC payments. (This is NOT for any placement with relative).

**7.4 Certified Pending Licensure Placement**

Use for placements involving homes that require a license, but have yet to be licensed. This does not include Foster Family Certified Homes (FFA homes).

Examples of how CWS/CMS supports the child caseworker in the identification and matching of clients with available placement alternatives are shown below.

Step	CWS/CMS	Action
	Start CWS/CMS 	1. Click on the <b>Client Services</b> icon.
7.2.7	Conduct Placement Facility Search	<ol style="list-style-type: none"> <li>Click on <b>Search</b> ® <b>Start Search</b>.</li> <li>In the <i>Search Type</i> field, select <i>Placement Facility</i>.</li> <li>In the <i>Facility Type</i> field, select the appropriate type of facility. Be sure to select the County in which the home is located.</li> <li>Click <b>OK</b>.</li> </ol>



**Search**

Search Type  
Placement Facility

Placement Facility  
Foster Family Home

County Sacramento

LA Vendor ID

Substitute Care Provider First Name

Substitute Care Provider Last Name

License Status

Licensed By

License Number

Zip Code

as of License Status Date 12/04/1998

Region

OK  
Cancel  
Help

☐ Phonetic Search

Step	CWS/CMS	Action
7.2.7	Conduct Placement Facility Match	<ol style="list-style-type: none"> <li>Click on <b>Search</b> ® <b>Start Search</b>.</li> <li>In the <i>Search Type</i> field, select <i>Placement Facility Match</i>.</li> <li>In the <i>Placement Facility Match</i> field, select the appropriate type of facility</li> <li>Fill in the applicable match criteria.</li> </ol>

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 7.2				





{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
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ACF Comments

**6.(34) Generate documents as needed\*** — Describe how the automated system supports the generation of Reminders/ticklers, notices, and reports as necessary to track the progress of the service/case plan.

*State Response:*

**To view reminders:**

Step	CWS/CMS	Action
5.3.2	View Reminders in Caseload Application  	<ol style="list-style-type: none"> <li>1. Click <b>CASELOAD</b> application on CWS/CMS Control Panel.</li> <li>2. Click the <b>Reminder</b> Folder.</li> <li>3. The <b>Select Item to Open</b> drop down will default to Reminder.</li> <li>4. In the <b>For this Caseload</b>, click the desired caseload. Click <b>OK</b>.</li> <li>5. In the <b>Open this Reminder</b> grid, click the desired reminder. Click <b>OK</b>.</li> </ol> <p><b>Notes:</b></p> <ul style="list-style-type: none"> <li>• Use the <b>Filter</b> button to limit the list.</li> <li>• Reminders for an entire caseload can be viewed and printed from the Caseload Application.</li> </ul>
5.3.3	View Reminders in Client Services Application  	<ol style="list-style-type: none"> <li>1. Click <b>CLIENT SERVICES</b> icon (either on CWS/CMS control panel <u>or</u> in Caseload Application).</li> <li>2. Click the <b>Existing Referral</b> or <b>Case</b> Folder.</li> <li>3. Click the <b>Referral</b> or <b>Case Management Section</b> button (<b>green</b>).</li> <li>4. Click the <b>Reminder</b> Notebook.</li> <li>5. The <b>Select Item to Open</b> drop down will default to Reminder.</li> <li>6. In the <b>Open this Reminder grid</b>, Review. Print if desired.</li> <li>7. Click <b>Cancel</b> to close the dialog box.</li> </ol>

Step	CWS/CMS	Action
5.3.4	Create Reminder Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>Existing Referral</b> or <b>Case</b> Folder.</li> <li>2. Click the <b>Referral</b> or <b>Case Management Section</b> button (<b>green</b>).</li> <li>3. Click the <b>New (+) Reminder</b> Notebook.</li> <li>4. Complete the <b>ID</b> Page (<b>CS.Ref/Case.g.reminder.1</b>).</li> <li>5. Click the <b>File</b> Menu drop down. Click the <b>Save to Database</b> command.</li> <li>6. In the Confirmation Dialog Box, click <b>Yes</b> to save.</li> </ol> <p><b>Notes:</b> User defined reminders can only be created for a specific referral or case <u>and</u> when in the Client Services application.</p>

CWS/CMS creates two reminders specific to generating case plans: “Initial Case Plan Due” and “Updated Case Plan Due”. However, the child caseworker can create their own specific reminders.

CWS/CMS logic that generates the two reminders: “Initial Case Plan Due” and “Updated Case Plan Due” is shown below:

Create a reminder 'Initial Case Plan Due' (unless the Intervention Reason Type = ICPC Request or Non-CWD Foster Care) and set the Due Date to the earliest of the following date: CASE start date + 30 days or any Placement Episode Removal Date where Placement Episode End Date = Null + 30 days. If this is not an ICPC Request and an active CASE exists and there is at least one approved Family Case Plan Episode, then delete 'Initial Case Plan Due' and Create a reminder 'Updated Case Plan Due' and set the Due Date to Caseplan effective date + 6 months. Otherwise, neither reminder should exist. If a CASE PLAN's approval status changes from 'Approved' to 'Requires Modification and if this is the first CASEPLAN for this CASE, delete "Update Case Plan Due" and create a tickle 'Initial Case Plan Due'. Set the Tickle due date to 30 days after the placement episode removal date for the active placement episode.

### DOCUMENTS

CWS/CMS requires the child caseworker to generate documents in order to proceed through the referral or case process. Also, generating required documents clears reminders. Documents are saved as Word files and may be accessed any time during the process.

### REPORTS

CWS/CMS requires the child caseworker to generate reports in order to proceed through the referral or case process. Also, generating required reports clears reminders. When a report is generated, the report fields are automatically updated with the current database values. A report is a snapshot in time. Reports are printed out but not saved with the referral or case

All SACWIS requirements have been met.

*Documentation References:*



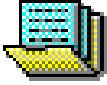
{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 5.3		#15, 26		SR_CASELOAD #2-4

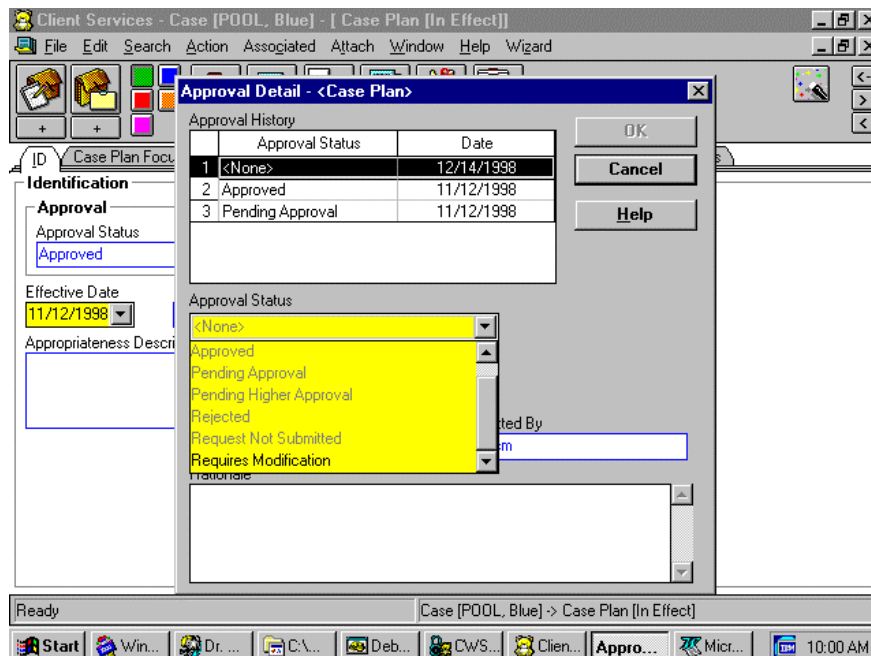
  

{PRIVATE} ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Comple ted? Yes or Blank		Resolution Date:	
ACF Comments						


**7.(35) Request and record supervisory approval of plan, if needed** — Describe how the automated system provides support for obtaining supervisory approval of the service/case plan.

State Response:

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
5.1.3	Update Existing Case 	1. Click the <b>Existing Case</b> Folder. 2. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b> . <b>Note:</b> <ul style="list-style-type: none"><li>Repeat this step for all siblings who will be part of the same Case Plan.</li></ul>
5.1.9	Request Supervisor Approval of Case Plan 	1. Click the <b>Existing Case Plan</b> Notebook. 2. Click the <b>Action</b> Menu drop down. Click the <b>Approval</b> Command. 3. In the Approval Detail Dialog Box, <b>Approval Status</b> drop down, click <b>Pending Approval</b> . Enter an Action Date and rationale for approval, as appropriate.



This action menu is used by the child caseworker to request approval and the supervisor/approval authority to approve the case plan or give feedback to the child caseworker.

Step	CWS/CMS	Action
5.1.10	Edit Case Plan When Supervisor Indicates <b>(Requires Modification)</b> 	<ol style="list-style-type: none"> <li>Click the <b>Existing Document Case Plan</b> Notebook.</li> <li>The <b>Select Item to Open</b> drop down will default to Case Plan.</li> <li>In the <b>For this Case Plan</b> grid, click desired Case.</li> <li>In the <b>Open this Document - Case Plan</b> grid. Single click the desired Case Plan. Click <b>Remove</b>.</li> <li>In Dialog Box re: if you remove this row, you cannot replace it with the Undo command. Proceed? Click <b>Yes</b>.</li> <li>Click <b>Cancel</b></li> <li>Return to appropriate step(s) to make requested modifications.               <ul style="list-style-type: none"> <li>Step 5.1.5 to modify service objective, contributing factor, and strength.</li> <li>Step 5.1.7 to create a new Case Plan Family Assessment document.</li> <li>Step 5.1.6 to modify Planned Services.</li> <li>Step 5.1.8 to create a new CWS Case Plan Document.</li> <li>Request approval of Modified Case Plan (See Step 5.1.9)</li> </ul> </li> </ol>

**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
<b>PUM 5.1</b>				

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**8.(36) Estimate and track actual costs of resources/services** — Does the automated system include a component which estimates and tracks the costs of required/ provided resources and

services to assist in service/case plan management and tracking? If "yes," please describe how this works.

*State Response:*

**For a child client in placement, the costs of certain services are entered into the CWS/CMS. on the “Ongoing Requests” and “Incidental Payment” pages (CS.Case.r.placement.#6 & 7)**

**The Ongoing Requests page allows the child caseworker to enter Special Care Increment Payment Types. The CWS/CMS predefined types are:**

- **Bed Wetting**
- **Foster Parent Participation in Therapy**
- **Infant Supplement - Family**
- **Infant Supplement - Group Home**
- **Intensive Supervision**
- **Kidstep Supplement**
- **Ongoing School Problem**
- **Soiling of Pants**
- **Transportation**
- **Shelter Care Allowance**
- **State Authorized Allowance**
- **County Authorized Allowance**
- **SOC158**

**The Incidental Payment page allows the child caseworker to enter Incidental Payment Types. The CWS/CMS predefined types are:**

- **Adoption Expenses**
- **Back to School Clothing Allowance (non-auto)**
- **Burial Expenses**
- **Initial Clothing Allowance**
- **Replacement Clothing Allowance**
- **Clothing Allowance-District Issued**
- **State Authorized Allowance**

**All SACWIS requirements have been met although this cost tracking is limited to these two types of payment.: Special Care Increment Payment and Incidental Payment.**

*Documentation References:*



<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	<b>CS.Case.r.place ment.6 &amp; 7</b>			

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>The system does not include a component which estimates and tracks the costs of resources and services to assist in service/case plan management and tracking.</p> <p><b><u>Requirement</u></b></p> <p>Considering that the State elected to include this functional component in its system design, it becomes a mandatory element. The State must describe how it will modify the system to support this component.</p>						

State Draft Response Dated 2/1/00

The state did not appropriately respond to the question in its original response. This was an oversight by the state staff person assigned to review the response. The state wishes to re-state its answer as follows.

The state Selected Option should be marked "NO."

Please also note that the CDSS has incorporated data fields within CWS/CMS to permit the tracking of two service cost types specific to the approved California Title IV-E State Plan: specialized care increments and incidental payments. Both are defined in State statute and regulation as referenced in the State Plan. As noted previously, the caseworker can utilize drop-down menus to enter these services and cost types, or make individual entries. However, CWS/CMS does not have functionality to track other service costs, as opposed to placement costs, at this time. In fact, California counties do not currently report the expenditure of State or federal service monies, i.e., Title IV-B and State General Fund dollars, on a case specific basis. The CDSS believes there has been a misunderstanding of the State's intent, and would be interested in discussing this matter further with ACF staff.

State Response Dated 11/01/00




The state did not respond correctly to the question in its original response. The State wishes to re-state its answer as follows.

The "State Selected Option" should be marked "NO." With this, ACF will table this issue because the state did not intend to track service costs.

**9.(37) Identify program outcome measures** — Does the automated system include a component which identifies and tracks program outcome measures? If "yes," please describe how this works.

*State Response:*

The child caseworker evaluates each "Service Objective" and enters whether the objective has been met.

Step	CWS/CMS	Action
	Start CWS/CMS 	2. Click on the <b>Client Services</b> icon.
5.2.2	Open Existing Case 	5. Click the <b>Existing Case</b> Folder. 6. The <b>Select Item to Open</b> drop-down will default to Case. 7. In the <b>Open this Case</b> grid, click desired case. Repeat actions 1-3 for each case focus child participant in the Case Plan in effect.
5.2.3	Update Service Objectives Information (In Participant Profile Notebook) 	7. In the <b>Create Case Plan</b> dialog box, click the <b>Update</b> option button. Select Case Plan Participants. Click on the appropriate boxes to copy Service Objectives, Contributing Factors, and Family Strengths from previous plan, if desired, to new case plan. (You will be able to use the Case Plan Update dialog box to include the service objectives and services from the previous case plan.) 8. Click the <b>Existing Participant Profile</b> Notebook. 9. In the <b>Select Item to Open</b> drop down, click <b>Participant Profile</b> . 10. In the <b>For this Case Plan</b> grid, click the <b>desired Case Plan</b> . 11. In the <b>Open this Participant Profile</b> grid, click the <b>desired client</b> . Click <b>OK</b> . 12. Review and complete <b>Service Objectives Page (CS.Case.g.participant profile.1)</b> , Goals Met Section, Address all Service Objectives for all participants and describe progress (or lack of it) in the <i>Progress</i> field.

The information entered is reflected on the "Child Welfare Services Case Plan Update" document. However, the CWS/CMS does not report on "outcome".

All SACWIS requirements have been met.

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>		<b>NO:</b>	<b><u>X</u></b>
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	(CS.Case.g.participant profile.1)		SD_CASEPLAN #3	

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N/A</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**B: Case Review / Evaluation**

Goal: To provide automated support for the administration of timely reviews, either internal to the agency or with the input of the judicial system, to insure that services are progressing toward the stated outcome; to determine if additional services are to be provided; and to evaluate the time frames and the outcomes in the services/case plan.

**1.(38) Generate Reminders/ticklers to conduct case review/evaluation as needed \*** — Describe how the automated system supports the timely identification and continued tracking of cases requiring review/evaluation.

*State Response:*

Please see response to ACF question 6.(34) above. All the reminders except #8 (“Cross Report for Law Enforcement Due”) and #18 (“Referral Investigation Contact Due”) may be needed in the CASE application.

**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
		#1-7		
		#9-17		
		#19-26		

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>C</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
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### ACF Comments

#### Finding

The State's response concerns case plan update, not case reviews. The Review Team found that all reviews in California are judicial reviews, which the system supports.

#### Requirement

The State must update its response to discuss case reviews. The discussion may include the fact that all reviews are judicial reviews and are discussed further in the Court section of the questionnaire.

State Draft Response Dated 2/1/00

The State would like to update its response as follows:

All reviews in California are judicial reviews which the system supports. For information on how the system supports the court-related functionality, refer to the Court Processing Section of this document.

State Draft Response Dated 11/01/00

In California, all case reviews are judicial reviews and all jurisdictions require that the case plan be submitted to and approved by the court as part of the agency report to the court. Each case is heard and reviewed no less often than every six months. The findings and orders made by the court are directly related to the recommendations for services prepared by the social worker. In addition, all parties to the court action in California have legal representation. Each child has separate legal representation and, in some cases, each parent has separate representation as well. After reading the court report and case plan prepared by the social worker, the attorneys for each of the parties to the action, including the judicial officer, may question the social worker about the contents of the case plan or other information in the report to the court. This requires testimony under oath by the social worker concerning the relevance of the assessment to the services recommended and the case plan goals. The CWS/CMS supports this process by assisting each social worker to document, track and retrieve the relevant information about a family over time. The information cannot be lost or misplaced from the database. All previous case plans and court documents are linked to the case. Documents can be retrieved and reviewed multiple times by social workers and supervisors. The CWS/CMS also documents those problems for which services are not available, and those services that had been provided to the family which failed to ameliorate the condition of risk to the child.

**2.(39) Conduct and record results of case review\*** — Describe how the automated system supports the case review process and provides for documentation of the reassessment decisions and needed action items in the electronic case folder.

*State Response:*

**The reminder, "Update Case Plan Due", is generated by CWS/CMS every six month. To update a case plan, the child caseworker follows the steps shown in the State's response to ACF 4.(32). Basically, the child caseworker opens the CASE applicable to the case plan, selects Update Case Plan, copies the "Service Objectives", "Contributing Factors", and "Family Strengths" from the previous plan, and gives status of the plan.**

**The results of this update area documented in the "Child Welfare Services Case Plan Update" document**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 5.2	(CS.Case.g.participant profile.1)	#26	SD_CASEPLAN #3	

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The State's response concerns case plan update, not case reviews. The Review Team found that all reviews in California are judicial reviews, which the system supports.</p> <p><b><u>Requirement</u></b></p> <p>The State must update its response to discuss case reviews. The discussion may include the fact that all reviews are judicial reviews and are discussed further in the Court section of the questionnaire.</p>						

State Draft Response Dated 2/1/00

The State would like to update its response as follows:

All reviews in California are judicial reviews which the system supports. For information on how the system supports the court-related functionality, refer to the Court Processing Section of this document.

State Response Dated 11/01/00

Please see the State Response to B.III, Case Management, B: Case Review/Evaluation, 1.(38), Dated 11/01/00.

**3.[4](40) Generate documents, notices and reports based on review as needed\*** — Describe how the automated system supports the generation of documents, notices, and reports during, or resulting from, the evaluation process.

*State Response:*

**DOCUMENTS**

**CWS/CMS requires the child caseworker to generate documents in order to proceed through the case process. Also, generating required documents clears reminders. Documents are saved**

as Word files and may be accessed any time during the process. All the documents except REFERRAL documents may be needed in the CASE application.

## **REPORTS**

CWS/CMS requires the child caseworker to generate reports in order to proceed through the case process. Also, generating required reports clears reminders. When a report is generated, the report fields are automatically updated with the current database values. A report is a snapshot in time. Reports are printed out but not saved with the referral or case. All the reports except REFERRAL reports may be needed in the CASE application.

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE } Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
			all except SD_REFERRAL	all except SR_REFERRAL

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The State's response concerns case plan update, not case reviews. The Review Team found that all reviews in California are judicial reviews, which the system supports.</p> <p><b><u>Requirement</u></b></p> <p>The State must update its response to discuss case reviews. The discussion may include the fact that all reviews are judicial reviews and are discussed further in the Court section of the questionnaire.</p>						

State Draft Response Dated 2/1/00

The State would like to update its response as follows:

All reviews in California are judicial reviews which the system supports. For information on how the system supports the court-related functionality, refer to the Court Processing Section of this document.





State Draft Response Dated 11/01/00

Please see the State Response to B.III, Case Management, B: Case Review/Evaluation, 1.(38), Dated 11/01/00.

**4.[5](41) Record collateral contacts** — Describe how the automated system provides for the recording of client collateral contacts and information resulting from those contacts.

*State Response:*


**To record client collateral contacts and information, the child caseworker uses the collateral notebook to record participants in the Referral or Case who do not provide services to the child, for example, a neighbor.**

Step	CWS/CMS	Action
4.1.1	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
4.1.2	Update Referral Folder  <b>OR</b> Case Folder 	1. Click the <b>Existing Referral</b> or <b>Case</b> Folder Notebook. 2. In the <b>Select Item to Open</b> drop down, click <b>Referral</b> or <b>Case</b> . 3. In the <b>Open this Referral or Case</b> grid, click the desired Referral or Case. Click <b>OK</b> .
4.1.4	Create Collateral Notebook 	1. Click the <b>Client Management Section</b> button ( <b>blue</b> ). 2. Click the <b>New (+) Collateral</b> Notebook. 3. The <b>Item to Create</b> drop down will default to <b>Collateral</b> . 4. In the <b>For this Client</b> grid, click the desired Client. Click <b>OK</b> . 5. Review and complete pages as appropriate ( <b>CS.Ref/Case.b.collateral.1-3</b> ). In addition to the Collateral's name, add the name of the agency (if applicable) and the primary phone number and/or address. 6. On the <b>Related Clients</b> Page be sure to add the <i>Collateral Category</i> . Correct <i>Active Status</i> field as needed.

**By creating appropriate collateral notebooks, you will be able to select a “Collateral” as needed when completing a Contact Page. See ACF questions 3.(31) above for how to record contacts.**

**The CWS/CMS prints a chronological list (with narrative descriptions) of the contacts, services and visits performed over a specified period of time. Only contacts, services and visits that have been recorded in the contact notebook will be printed.**

Step	CWS/CMS	Action
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3.3.1	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
3.3.2	Print Delivered Service Log	1. Click the <b>File</b> Menu drop down, click the <b>Print Report</b> command. 2. Click <i>Area of Interest</i> field and select <b>Services Report</b> . 3. Click the Report Name <b>Delivered Services Log</b> .

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 4.1 & 3.3	CS.Ref/Case.b.collateral.1-3			SR_SERVICES #1

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**C: Monitoring Service / Case Plan Services**

Goal: To provide administrative and system support to the worker by ensuring that the services identified in the service/case plan are provided in a timely and effective manner.


**1.(42) Track and record services identified in the service/case plan** — Describe how the automated system provides for the recording in the electronic case folder of the types, duration, and frequency of services.

*State Response:*

**The Planned Services page (CS.Case.g.case plan.5) has areas for “Schedule” and “Service”**

Step	CWS/CMS	Action
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5.1.6	<p>Complete Case Plan (Planned Services)</p> 	<p>3. Click the <b>Existing Case Plan</b> Notebook.</p> <p>4. Click the <b>Planned Services</b> Page (<b>CS.Case.g.case plan.5</b>). Complete this page by clicking on the (+) in the upper left corner of the Planned Services grid for each service.</p> <ul style="list-style-type: none"> <li>Each Case Plan Participant must have at least one Planned Service.</li> <li>Include the required monthly contacts with children, parents, and Substitute Care Providers.</li> </ul>
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The State's response to ACF questions 2.(30) lists the "Service Categories" and "Service Types" CWS/CMS supports. These are entered into the "Service" area of the Planned Services page.

The duration and frequency of the client's services is entered by the child caseworker into the "Schedule" area of the Planned Services page. The CWS/CMS coded values for service "Frequencies" are

- Daily
- Weekly
- Every 2 Weeks
- Monthly
- Every 2 Months
- Every 3 Months
- Every 6 Months

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 5.1	CS.Case.g.case plan services.5			SR_CASELOAD #4

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**2.(43) Generate documents, notices and reports \*** — Describe how the automated system supports the generation of documents, notices, and reports to track the services needed and provided to the client.

*State Response:*

See response to ACF questions 6.(34) above.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE} ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The Review Team found that the Health and Education Passport contains information that is not in the CWS/CMS case plan. However, this information must be provided to foster care providers when the child is placed.</p> <p><b><u>Requirement</u></b></p> <p>CWS/CMS must contain all of the information in the Health and Education passport in order that all forms and documents provided to the foster care provider regarding the foster child can be generated from the automated system.</p> <p><b><u>Observation</u></b></p> <p>CWS/CMS generates agreements for agencies and foster homes, using State standard forms. Workers can document in the system that these agreements have been received, but the agreements are hard copy documents.</p>						

State Draft Response Dated 2/1/00

The Health and Education Passport, as re-designed for implementation with CWS/CMS Release 4.1, communicates crucial information to the child's care provider and to the court relative to the child's medical and education needs, and fully complies with the statutory and regulatory requirements to do so. This includes an accurate, complete and current Health and Education summary. Additionally, the social worker in a timely and logical fashion can record, update, and track on the CWS/CMS information relative to the child's mental, health, education and developmental assessments and re-assessments. Consequently, since all information on the HEP will come from the CWS/CMS database, the HEP will be up-to-date and ready for print-out for the benefit of the care provider and the court whenever it is needed.

State Draft Response Dated 11/01/00

The Health and Education Passport on CWS/CMS, as re-designed and implemented in Summer, 2000, communicates crucial information to the child's care provider and to the court relative to the child's medical and education needs, and fully complies with the statutory and regulatory requirements to do so. This includes an

accurate, complete and current Health and Education summary. Additionally, the social worker can record, update, and track information relative to the child's mental health, physical health, education and developmental assessments and re-assessments on the CWS/CMS in a timely and logical fashion. Consequently, since all information on the HEP comes from the CWS/CMS database, the HEP is up-to-date and available as a print-out for the benefit of the care provider and the court whenever it is needed. The State requests that this item be closed as the issue was the non-persistent data that was not stored in the database.

## **{PRIVATE }B. IV: Resource Management**

This function supports the maintenance and monitoring of information on an array of service providers, including prevention programs, placement services, and foster care providers.

Goal: To provide system support for the efficient and effective administration of the processes involved in the determination of appropriate service providers and/or placement resources necessary to accomplish the goals of the service/case plan.

### **A: Facilities Support**

Goal: To provide for the timely, efficient and effective identification of new resources, the addition of new information regarding existing resources, and the identification of gaps in resource/service availability.

**1.(44) Record and update provider information \*** — Describe how the automated system supports the collection and maintenance of provider information such as license/certification status, types of services, level of care provided, level of care compliance and cost of care.

*State Response:*

**To create a new placement facility, the child caseworker uses the RESOURCE MANAGEMENT application. The RESOURCE MANAGEMENT application, has six notebooks:**

- **placement home**
- **substitute care provider**
- **county license case**
- **foster family agency**
- **group home organization**
- **home study**

**A placement home is defined as a licensed or non-licensed substitute care home in which a child may potentially be placed. This notebook has information about the address, payee, characteristics of and people residing in the home. If you create a county license case notebook for a placement home, the License Info. page for the associated placement home notebook becomes read-only. Information about placement homes licensed by the State (Community Care Licensing (CCL)) is downloaded every night by the License Information System (LIS); applicable fields in the placement home notebook are read-only**




**The substitute care provider notebook is where the child caseworker enters information about individuals who provide care for children in a placement home, or individuals who hold a license for a placement home.**

**The county license case notebook has information related to a licensed home, including information on annual visits, training, deficiencies, incidents, and current license status. It is used to record information for counties that license their own foster family homes.**


**The foster family agency notebook is used to view or enter information about Foster Family Agencies (FFAs) licensed to certify Foster Family Agency Certified Homes.**


The group home organization notebook is used to view or enter information for Group Home Organizations. (GHOs are administrative bodies that represent one or more group homes). The home study notebook is used to view and record the results of an investigation and assessment of one or two applicants' suitability to becoming adoptive parents.

To create a new County-Licensed Foster Home, the child caseworker performs the following steps:

Step	CWS/CMS	Action
10.2.3	Start CWS/CMS 	1. Click the <b>Resource Management</b> icon.
10.2.4	Create New Placement Home 	1. Click the <b>Placement Facility Section</b> button (red). 2. Click the <b>New (+) Placement Home</b> Notebook. 3. Complete <b>all mandatory and known</b> fields on the pages: <ul style="list-style-type: none"> <li><b>ID, Address, Other Children, Other Adults, Characteristics, and Payee</b> Pages (<a href="#">RM.r.placement home.#1-5 and #9</a>)</li> <li><b>License Information</b> (<a href="#">RM.r.placement home.#6</a>) Page: This information will be entered in the County License Case Notebook and will be Read-Only (in blue) here.</li> </ul>
10.2.5	Create New Substitute Care Provider -- If you did <b>not</b> find this person in the search. 	<b>Note:</b> Search for the Substitute Care Provider. (See Step 10.2.2) If found, skip to Step 10.2.6. If not found, proceed with Action 1. 1. Click the <b>New Substitute Care Provider</b> Notebook. 2. In the <b>Placement Home</b> grid, click the <b>desired Placement Home</b> . 3. Complete <b>mandatory and known fields</b> on the <b>ID, Address, Associations, and Attorneys</b> Pages ( <a href="#">RM.g.substitute care provider.#1-4</a> ). <b>Note:</b> <ul style="list-style-type: none"> <li>There must be one Primary Provider associated with each Placement Home. Additional Substitute Care Providers need to be identified as Secondary Providers.</li> </ul>

If “Substitute Care Provider” was found in the search, perform the following:

Step	CWS/CMS	Action
10.2.6	Attach Existing Substitute Care Provider if Located in Search 	1. Click the <b>Existing Placement Home</b> Notebook. 2. Click the <b>Retrieve Data</b> button on the right side of the dialog box. 3. In the <b>Select Placement Home Filter</b> , enter appropriate data. Use the information found in the search. Click <b>OK</b> . 4. When the results come back, make sure the SCP's previous home is listed. Click <b>Cancel</b> 5. Click the <b>Action</b> Menu drop down. Click the <b>Attach Existing Sub Care Provider</b> command. 6. In the <b>For this Placement Home</b> grid, click the placement home you are creating. 7. In the <b>Attach this Substitute Care Provider</b> grid, click the Substitute Care Provider you found in your search, click <b>OK</b> . 8. Review and Complete the <b>ID</b> Page and the <b>Associations</b> Page ( <a href="#">RM.g.substitute care provider.#1 &amp; 3</a> ). On the <b>Associations</b> Page, mark one Substitute Care Provider as Primary and the rest as Secondary.
Step	CWS/CMS	Action

10.2.7	<p>Create New County License Case</p> 	<ol style="list-style-type: none"> <li>1. Click the <b>Placement Facility Section</b> button (<b>red</b>).</li> <li>2. Click the <b>Existing Placement Home</b> Notebook.</li> <li>3. In the <b>Select Placement Home</b> Filter dialog box, click the Filter type Placement Home and complete the Facility Type and Facility Name for the home you just created.</li> <li>4. When the results of your search arrive, in the <b>Open this Placement Home</b> grid, <i>double-click</i> on the appropriate placement home.</li> <li>5. Click the <b>Create New (+) County License Case</b> icon.</li> <li>6. In the <b>Select Facility</b> grid, click the <b>desired facility</b>.</li> <li>7. Complete <b>all</b> mandatory and known fields on the <b>ID</b> Page. You must enter the <b>County field first</b>. Update other pages as appropriate. (<u><b>RM.r.county license case.#1-4</b></u>).</li> </ol>
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As shown above, license information is entered through the county license case notebook. If there is a “hold” on the license, this information will be shown in the “On Hold Information for <county>” section of the placement home notebook, ID page (**RM.r.placement home.#1**)

CWS/CMS allows the following types of “placement homes” (**RM.r.placement home.#1**):

- Homes licensed by the county:
  - County Shelter/Receiving Home (Non EA/AFDC)
  - Foster Family Home
- Homes licensed by the State (CCL)
  - Small Family Home
  - Group Home
- Homes certified by Foster Family Agency:
  - Foster Family Agency Certified Home
- Non-licensed or non-certified homes:
  - Court Specified Home
  - Medical Facility
  - Relative Home
  - Tribe Specified Home
  - Guardian Home

The placement home notebook, characteristics page and the foster family agency notebook, characteristics page contain information on additional types of services and level of care provided by the placement home in focus. (**RM.r.placement home.#5**) (**RM.r.foster family agency.4**)

Compliance of a placement home can be entered and updated in four areas of CWS/CMS:

- (**RM.r.placement home.1**): If there is a “hold” on the license, this information will be shown in the “On Hold Information for <county>” section of this page.
- (**RM.r.foster family agency.1**): If there is a “hold” on the license, this information will be shown in the “On Hold Information for <county>” section of this page.
- (**RM.r.county license case.1**): The current license information and status is documented on this page.

- **(RM.r.county license case.4):** If there is complaint, deficiency or incident, it will be recorded on this page.

CWS/CMS generated reports “Licensing Complaint Log for Foster Homes”, “List of Licensing Cases on Hold”, “Placement Homes on Hold by Type”, and “Substitute Care Provider Licensing History” document facilities which have licenses on hold and/or other licensing issues

General placement history is documented in “History of Placement in Home” and changes are documented in “Notice of Change in Foster Home Placement”.

The cost of care is entered in the Client Services application. This information is collected and maintained on the placement notebook on-going requests and incidental payments pages.  
**(CS.Case.r.placement.6 & 7)**

**\*Please note: the SR-PLACEMENT #2 report was omitted from the information submitted with the State’s response, Appendix A to the ACF. This report follows.**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 10.2	RM.r.placement home. 1-5,6 and 9			PM_LICENSING #5
	RM.r. foster family agency.1 and 4			PM_LICENSING #11
	RM.g.substitute care provider.1-4			PM_PLACEMENT #6
	RM.r.county license case.1-4			*SR_PLACEMENT #2
	CS.Case.r.placement. 6 & 7			SR_PLACEMENT #1
				PM_LICENSING #12

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

HISTORY OF ASSOCIATED PLACEMENT HOMES				
Facility Name	Address	License Number	Start Date	End Date
Doss Hogg	4th town, California		10/29/1998	

HISTORY OF ASSOCIATED LICENSING ISSUES					
Date	Category	Issue Type	Complaint Finding	Deficiency Corrected	License Number











**2.(45) Generate reminders/action items on licensing status changes \*** — Describe how the automated system supports the timely identification and continued tracking of cases and/or facilities requiring a review or other action as a result of a change in provider information.

*State Response:*

**If a placement home's license is on-hold, the business rules coded into the CWS/CMS software prevent placement of a child in that home.**

The child caseworker can place a child in a non-licensed/certified home by temporarily certifying the home.

Step	CWS/CMS	Action
7.4.5	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
7.4.6	Update Existing Referral  <b>OR</b> Existing Case 	1. Re-open the Referral or Case.
7.4.9	Create Placement Home Notebook 	<ol style="list-style-type: none"> <li>Click the Placement Management Section icon (red)</li> <li>Click the New (+) Placement Home Notebook.</li> <li>Complete the <b>ID, Address, Other Children, Other Adults, and Payee Pages. (CS.Ref/Case.r.placement home.1-4 &amp; 9)</b></li> <li>Complete <b>Lic. Info Page. (CS.Ref/Case.r.placement home 6)</b> <ul style="list-style-type: none"> <li>In the <i>Application Status</i> field select Certified Pending Licensure.</li> </ul> </li> </ol>
7.4.10	Create Substitute Care Provider Notebook 	<ol style="list-style-type: none"> <li>Click the <b>New (+) Substitute Care Provider</b> Notebook</li> <li>The <b>Select Item to Create</b> grid will default to Client Substitute Care Provider</li> <li>In the <b>For this Placement</b> grid, click <b>desired home</b> . Click <b>OK</b>.</li> <li>Complete the <b>ID, Address, and Associations Pages. (CS.Ref/Case.r.substitute care provider.1 -3).</b></li> <li>Repeat Actions 1-4 for the second Substitute Care Provider in this home.</li> </ol>

Step	CWS/CMS	Action
7.4.11	Create Placement Notebook 	<ol style="list-style-type: none"> <li>1. Click the <b>New (+) Placement</b> Notebook.</li> <li>2. The <b>Select this Item to Create</b> drop down will default to <b>Placement</b>.</li> <li>3. In the <b>For this Client</b> grid, click the <b>desired Client</b>.</li> <li>4. In the <b>Select this Placement Home</b> grid, click the desired home. Click <b>OK</b>.</li> <li>5. Complete <b>ID, Rationale, Ongoing Requests, and Incidental Requests</b> Pages. <u>(CS/Ref.Case.r.placement 1, 3,6, &amp;7)</u></li> </ol>
7.4.12	Request Supervisor Approval for Placement and Monies 	<ol style="list-style-type: none"> <li>1. Keep <b>Placement Notebook</b> in focus and request approval individually for the Placement, Incidental Requests, and Ongoing Requests.</li> </ol>
7.4.13	Create and Print Placement Agreement Document 	<p><b>Note:</b></p> <ul style="list-style-type: none"> <li>• The Placement must be created in CWS/CMS before the Placement Agreement Document can be generated [printed.]</li> </ul> <ol style="list-style-type: none"> <li>1. Re-open the Referral or Case, click the <b>File</b> drop down menu. Then select it from the bottom of the File menu.</li> <li>2. Click the <b>Placement Management Section</b> icon (red).</li> <li>3. Click the <b>New (+) Document - Case</b> Notebook.</li> <li>4. In the <b>Documents to Generate</b> grid, click the <b>Foster Parent or Agency Group Home Agreement</b> document. Click <b>OK</b>.</li> <li>5. Review/complete Document as appropriate and print.</li> </ol>

If a child is put into temporary placement, CWS/CMS generates a reminder: “Foster Family Home Requires License” under the following conditions: For Cases where Intervention Reason is not Incoming ICPC Request or Referrals for which there exists a Placement Home with an Application Status Type of 'Certified Pending Licensure' with any active Out of Home Placement and Case or Referral is not closed, a reminder, 'Foster Family Home Requires License', must be created with a due date of Certified Pending Licensure Date (or the system date if no CPLD is specified) + 90 days. If the Certified Pending Licensure Date is modified, the reminder must be modified.

The CWS/CMS also documents changes in foster home placement through the “Notice of Change in Foster Home Placement” report.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 7.4	CS.Ref/Case.r.place ment <u>home.1-4</u> & 9	#13	SD_PLACEME NT #2	PM_LICENSIN G #12
	CS.Ref/Case.r.place ment home 6		SD_PLACEME NT #3	
	CS.Ref/Case.r.substit ute care provider.1 - 3			
	CS/Ref.Case.r.place ment 1, 3,6, &7			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**3.(46) Generate reconciliation and evaluation reports as needed\*** — Describe how the automated system supports the generation of documents and reports, as needed.

*State Response:*

**DOCUMENTS**

CWS/CMS requires the child caseworker to generate documents in order to proceed through the placement process. Also, generating required documents clears reminders . Documents are saved as Word files and may be accessed any time during the process.

**REPORTS**

CWS/CMS requires the child caseworker to generate reports in order to proceed through the placement process. Also, generating required reports clears reminders. When a report is generated, the report fields are automatically updated with the current database values. A report is a snapshot in time. Reports are printed out but not saved with the referral or case

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
PUM 10.4			SD_PLACEMENT #1-4	SR_ADOPTIONS #1-6
				SR_PLACEHOME #1&2
				PM_LICENSING #1-12
				PM_PLACEMENT #1-11

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**4.(47) Record and track provider training** — Describe how the system records and tracks provider training needs and training received.

*State Response:*

At the bottom of the county license case notebook, ID page (RM.r. county license case.1), the child caseworker can enter information in the “Training Review Date”, “Next Training Planned”, And “Training Completed” fields.

This functionality is limited to foster care homes licensed by the county.

All SACWIS requirements have been met.

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<u>X</u>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	RM.r. county license case.1			

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

### B: Foster / Adoptive Homes Support



Goal: To provide system support for the timely, efficient and effective administration of new foster/adoptive homes, of new information regarding existing homes, and of gaps in availability.

#### 1.(48) Maintain and update foster care and adoptive home information as needed\* —

Describe how the automated system supports the collection and maintenance of foster care and adoptive home information, such as licensing decisions, violations and revocations, required AFCARS information, and completed training (as appropriate to the type of home).

*State Response:*

**Updates on licensed placement homes are made in the following area of CWS/CMS:**

Step	CWS/CMS	Action
10.2.3	Start CWS/CMS 	2. Click the <b>Resource Management</b> icon.
	Update County License Case 	<ol style="list-style-type: none"> <li>1. Click the <b>Placement Facility Section</b> button (<b>red</b>).</li> <li>2. Click the <b>Existing Placement Home</b> Notebook.</li> <li>3. In the <b>Select Placement Home</b> Filter dialog box, click the Filter type Placement Home and complete the Facility Type and Facility Name for the home you just created.</li> <li>4. When the results of your search arrive, in the <b>Open this Placement Home</b> grid, <i>double-click</i> on the appropriate placement home.</li> <li>5. Click the <b>County License Case</b> icon.</li> <li>6. In the <b>Select Facility</b> grid, click the <b>desired facility</b>.</li> <li>7. Complete <b>all</b> mandatory and known fields on the <b>ID</b> Page. You must enter the <b>County</b> field first. Update other pages as appropriate. (<b>RM.r.county license case.1-4</b>).</li> </ol>

As stated above in response to ACF question 1.(44), compliance of a placement home can be entered and updated in three areas of CWS/CMS:

- **(RM.r.placement home.1):** The If there is a “hold” on the license, this information will be shown in the “On Hold Information for <county>” section of this page.
- **(RM.r. foster family agency.1):** If there is a “hold” on the license, this information will be shown in the “On Hold Information for <county>” section of this page.
- **(RM.r.county license case.1):** The current license information and status is documented on this page.
- **(RM.r.county license case.4):** If there is complaint, deficiency or incident, it will be recorded on this page.

CWS/CMS generated reports “Licensing Complaint Log for Foster Homes”, “List of Licensing Cases on Hold”, “Placement Homes on Hold by Type”, and “Substitute Care Provider Licensing History” document facilities which have licenses on hold and/or other licensing issues.

General placement history is documented in “History of Placement in Home” and changes are documented in “Notice of Change in Foster Home Placement”.

AFCARS information is available throughout the CWS/CMS application. The placement home notebook, characteristics page and the foster family agency notebook, characteristics page **(RM.r.placement home.5 or CS.Ref/Case.r.placement home.5)** and **(RM.r.foster family agency.4)** allows entry/viewing of this information. A number of Program Management reports with AFCARS information are also available.

At the bottom of the county license case notebook, ID page **(RM.r. county license case.1)**, the child caseworker can enter information in the “Training Review Date”, “Next Training Planned”, and “Training Completed” fields.

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	RM.r.placement <a href="#">home.1</a>			PM_LICENSIN G #5
	RM.r.placement <a href="#">home.5</a>			PM_LICENSIN G #11
	CS.Ref/Case.r.pl acement <a href="#">home.5</a>			PM_PLACEME NT #6
	RM.r.foster family agency.4			SR_PLACEME NT #2
	RM.r.county license case.1-4			SR_PLACEME NT #1
				PM- LICENSING #12
				SR_ADOPTION #1-6
				PM_LICENSIN G #1-4

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The Review Team found that CWS/CMS includes Los Angeles specific payee information.</p> <p><b><u>Requirement</u></b></p> <p>The State must explain the purpose of this county specific data. This information is needed in order for ACF to determine if the system meets SACWIS requirements.</p>						

State Draft Response Dated 2/1/00

The exact nature of the federal concern is unclear. Los Angeles County enters specific payee information, i.e. payee name and address, for payment purposes.

State Response Dated 11/01/00

The ACF states that further internal policy discussions are necessary and once this is obtained, ACF will convey this information to the State.

**2.(49) Record foster care home abuse/neglect allegations and investigation results \* —**

Describe how the automated system supports the identification of foster care families where allegations of abuse/neglect have been reported and substantiated, as required by State law. Does the automated system also support the investigation of such allegations and document the results? If yes, how? Is information on these incidents integrated with other information on child abuse and neglect?

*State Response:*

**If an allegation of abuse/neglect is reported, the child caseworker would take the steps as documented in the Intake Management Section to investigate the allegation as it relates to the child.**

**The licensing worker takes the appropriate steps to investigate the allegation as it relates to the placement home. If the placement home is licensed through the State or certified by Foster Family Agency, the licensing worker refers the incident to the appropriate State agency. Then the licensing worker acts as a liaison between the State and the County.**

**The licensing worker receives a secondary assignment to all referrals or cases involving placement of the child client in a licensed placement home. As the allegation moves through the process, the licensing worker can view all the activity.**

**If there is an allegation of abuse/neglect, the licensing worker would note this as a complaint, deficiency or incident, in the county license case notebook, issues page (RM.r.county license case.4) and may put the home “on-hold” If there is a “hold” on the license, this information will be shown in the “On Hold Information for <county>” section of the placement home notebook, ID page. (RM.r.placement home.1), (CS.Ref/Case.r.placement home 1), or (RM.r. foster family agency.1)**

**Once the allegation is substantiated, the license worker documents this by putting the placement homes license on-hold or may revoke the license. (RM.r.placement home.1)**

**Information on these incidents is integrated with other information on child abuse and neglect for the child (as described in the Intake Management Section) but not for the placement home.**

**All SACWIS requirements have been met.**

*Documentation References:*



{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	RM.r.county license case.4			
	RM.r.placement <a href="#">home.1</a>			
	CS.Ref/Case.r.place ment home 1			
	RM.r. foster family agency.1			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>Staff indicted that they submit a paper report to the Licensing Unit when they identify a provider as a possible perpetrator. The system is not used to support this mandatory SACWIS requirement to identify foster care families where allegations of abuse and neglect have been substantiated.</p> <p><b><u>Requirement</u></b></p> <p>The State must describe in its response how the system supports this required functionality. The State should also indicate how workers can perform searches of both providers and clients when searching for a reported perpetrator. If applicable, the State should also identify its plans to enhance CWS/CMS functionality to conform to this requirement. Also, information about related system enhancements, and associated budget changes, should be identified in a future IAPDU.</p>						

State Draft Response Dated 2/1/00

The CWS/CMS does support the identification of foster families where allegations of abuse and neglect have been reported. Regardless of how or where an allegation of abuse originates, all county social service employees are mandated reporters and by law must, and do, report any allegation including instances where a provider is a possible perpetrator. In California, this process results in the creation of a referral within CWS/CMS. These referrals must be investigated no differently than any other referral of abuse or neglect. The referral identifies the provider as a suspected perpetrator and a foster parent, which becomes part of the permanent CWS/CMS database.

Licensing units conduct a similar investigation that is centered on the facility and substitute care provider instead of the child client. The CWS/CMS has a search functionality that can specifically identify providers involved in a CWS/CMS allegation of neglect or abuse; the search for a client/foster parent allows social workers to find foster parents who have been associated with referrals, both substantiated and unfounded.

The State further notes that if an allegation of abuse and/or neglect against a foster family is substantiated, the license in question would be revoked.

State Draft Response Dated 11/01/00

All child protection referrals are handled consistently in California. Referral information is gathered and input into CWS/CMS. A decision is made to investigate within statutory timeframes. When a referral is received, the investigating social worker must identify and interview all children in the home. If the children are too young to be interviewed, the social worker must contact medical care providers for health information. Pursuant to County policies, a search must be made of the CWS/CMS database for past history on every child and every adult associated with a referral. A search would reveal if the adult was a provider and if any of the children living in the home were placed there by a public agency. All foster children in the home would be immediately removed and the licensing authority notified. A search of the CWS/CMS database using the identifying information of the alleged perpetrator would identify the perpetrator as a foster parent.

As noted earlier, licensing units conduct similar investigations that are centered on the facility and substitute care provider rather than the child. The State Department of Social Services Community Care Licensing Division is responsible for licensing foster homes in fifteen counties and licenses all agencies and group homes and all specialized placement facilities. Forty-three counties are approved by the state to license foster family homes within their jurisdiction. When a licensing authority begins investigation of an allegation of abuse by a foster care provider, all foster children are removed from the home for the duration of the investigation.

The database permanently stores all information about perpetrators and alleged perpetrators of abuse.

**3.(50) Process foster care/adoptive home applications** — Describe how the automated system provides for the recruitment and processing of foster care family applications.

*State Response:*

**CWS/CMS does not have any on-line application processing. However, the systems does have information for the “Application Status”, “Application Status Updated Date”, and “Application Status History” in the placement home notebook, characteristics page (RM.r.placement home.5) or (CS.Ref/Case.r.placement home.5).**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>		<b>NO:</b>	<u><b>X</b></u>
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	<b>RM.r.placement <a href="#">home.5</a></b>			
	<b>CS.Ref/Case.r.placement <a href="#">home.5</a></b>			

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N/ A</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
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ACF Comments

**4.(51) Generate reminders/action items as needed if foster care license is revoked** — Describe how the automated system supports the identification and tracking of cases requiring a review or other action as a result of changing information.

*State Response:*

**CWS/CMS generates the “Re-placement of Child Due” reminder under the following conditions: If the Notice of Intent to Remove the child date is filled in and End Date is Null and Case or Referral is not closed, create a Replacement of Child Due reminder for the placement with a due date equal to the Notice of Intent to Remove Date + 7 days. Else delete the reminder for that Out of Home Placement.**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
		#20		

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

### C. Resource Directory


Goal: To provide an automated mechanism where information on resources can be efficiently and effectively accessed to determine availability, and the types and levels of services provided.

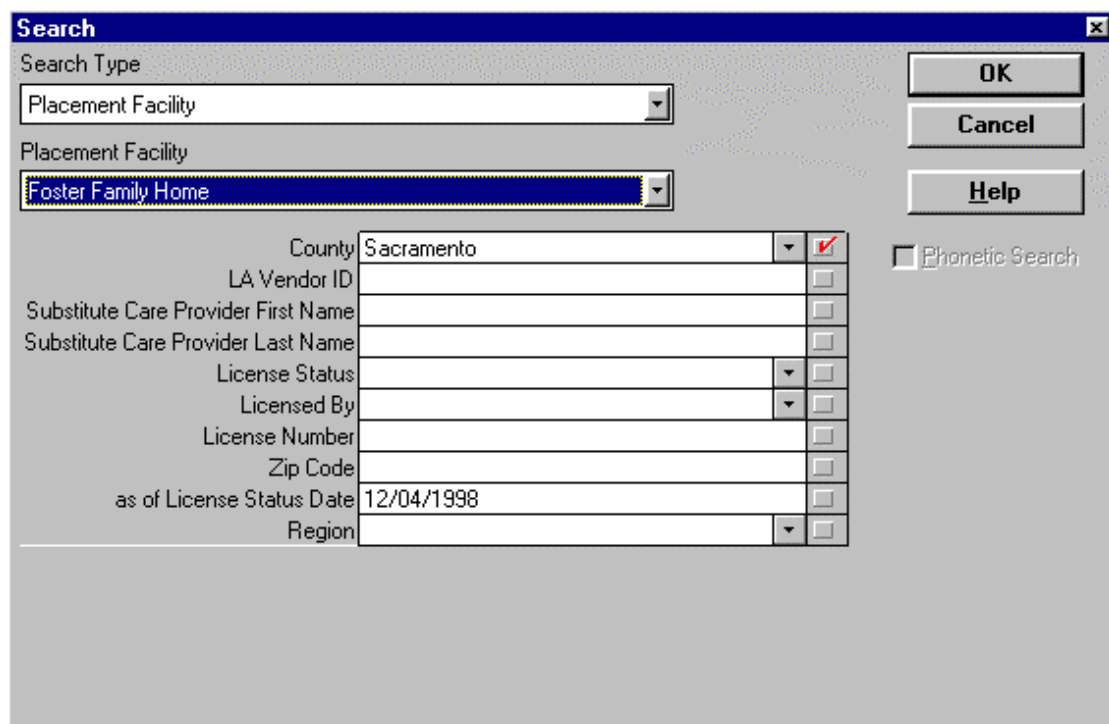
**1.(52) Maintain directory** — Does the automated system provide a directory / inventory of available resources and services? If yes, please describe how it works.

*State Response:*

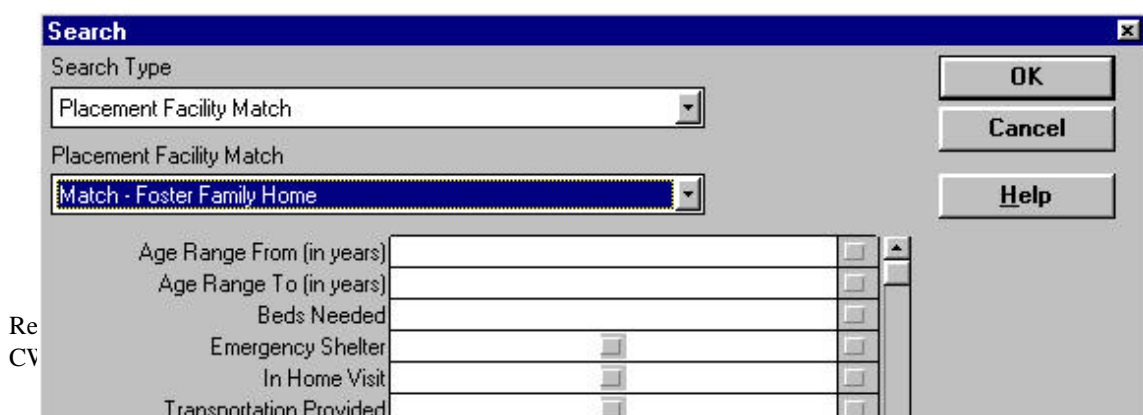
**CWS/CMS supports the child caseworker in the identification and matching of clients with available placement alternatives as shown below.**

Step	CWS/CMS	Action
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	Start CWS/CMS 	1. Click on the <b>Client Services</b> icon.
7.2.7	Conduct Placement Facility Search	1. Click on <b>Search</b> ® <b>Start Search</b> . 2. In the <i>Search Type</i> field, select <i>Placement Facility</i> . 3. In the <i>Facility Type</i> field, select the appropriate type of facility. Be sure to select the County in which the home is located. 4. Click <b>OK</b> .



Step	CWS/CMS	Action
7.2.7	Conduct Placement Facility Match	1. Click on <b>Search</b> ® <b>Start Search</b> . 2. In the <i>Search Type</i> field, select <i>Placement Facility Match</i> . 3. In the <i>Placement Facility Match</i> field, select the appropriate type of facility 4. Fill in the applicable match criteria.



**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<u>X</u>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
<b>PUM 7.2</b>				

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**2.(53) Generate reports** — Describe how the automated system supports the generation of management reports, as well as other reminders, bulletins, and documents related to resource availability.

*State Response:*

CWS/CMS generates the following reports:

Name	Number	Fields/Utility
Licensed Homes by Geo, Area	PM_PLACEMENT #5	Facility type, license number, and contact information
Licensing Management Report	PM_LICENSING #6	High level statistics on licenses, applications, visits, and training.
List of Children in Closing Foster Homes	PM_LICENSING #9	Child's name, facility names and license number.

<b>Foster Parent Over Capacity</b>	<b>PM_PLACEMENT #7</b>	<b>Facility type, license number, contact information and capacity information.</b>
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**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b>X</b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
				<b>PM_PLACEMENT #5</b>
				<b>PM_LICENSING #6</b>
				<b>PM_LICENSING #9</b>
				<b>PM_PLACEMENT #7</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

#### **D. Contract Support**

Goal: To provide automated support for the timely, efficient and effective administration of the contract process to ensure that resources are available for service provision.

**1.(54) Process contracts and contract changes** — Describe how the automated system supports the creation, processing, monitoring, and modification of contracts.

*State Response:*

**CWS/CMS does generate the “Foster Parents Agreement” and the “Group Home Agreement” documents.**

*Documentation References:*

<b>{PRIVATE } State Selected Option</b>	<b>YES:</b>		<b>NO:</b>	<u><b>X</b></u>
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
			<b>SD_PLACEME NT #2 &amp; 3</b>	

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N/ A</b>	<b>Finding Summary Worksheet Comple ted? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**2.(55) Record contract monitoring results** — Describe how the automated system supports efforts to monitor contractual compliance.

*State Response:*

**CWS/CMS does not support efforts to monitor contractual compliance.**

*Documentation References:*

<b>{PRIVATE } State Selected Option</b>	<b>YES:</b>		<b>NO:</b>	<u><b>X</b></u>
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N/ A</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**3.(56) Generate reminders/action items as needed** — Describe how the automated system supports the timely identification and continued tracking of cases requiring a review or other action as a result of monitoring activities.

*State Response:*

**The following are reminders that are specific to placement homes and are generated by CWS/CMS at the appropriate times:**

**FC Eligibility Redetermination Due (#11)**

If Intervention Reason is not ICPC Request and a child has AFDC Eligibility that has not been terminated and Case or Referral is not closed and the child is not a participant in a placement episode with one of the following agency responsible types: County Probation Department, Indian Child Welfare, Out of State Agency, Private Adoption Agency or State Adoptions District Office, create a FC Eligibility Re-determination Due reminder, setting the due date to re-determination date + 6 months, if it exists, otherwise use date + 6 months. If the date or re-determination date changes, the reminder must be modified.

**Foster Family Home Requires License (#13)**

For Cases where Intervention Reason is not Incoming ICPC Request or Referrals for which there exists a Placement Home with an Application Status Type of 'Certified Pending Licensure' with any active Out of Home Placement and Case or Referral is not closed, a reminder, 'Foster Family Home Requires License', must be created with a due date of Certified Pending Licensure Date (or the system date if no CPLD is specified) + 90 days. If the Certified Pending Licensure Date is modified, the reminder must be modified.

**Placement Agreement Due (#17)**

If Intervention Reason is not ICPC Request, there is an active Out of Home Placement and there is no Agreement Effective Date and it is not an Emergency Placement and Case or Referral is not closed, create the 'Placement Agreement Due' reminder with a due date equal to the Placement Start Date. Else delete the reminder for that Out of Home Placement.

**Reminder Remove Child From Home Immediate (#19)**

Create a reminder, 'Remove Child From Home Immediately', for each active out of home non ICPC placement associated with a placement home that has an expired license, expired Probationary License, expired Provisional License or a License Status of 'Licensee Initiated Closure, Revoked, Suspended, or Unlicensed Facility Closure, or a License Status of Unlicensed' and an Application status not equal to Certified Pending Licensure and Case or Referral is not closed. If the placement home has any type of valid license then there should be no reminder. This same logic holds true for an FFA whose license status changed as specified above, which operates an FFA Certified Home which has an active placement within it.

**All SACWIS requirements have been met.**

*Documentation References:*



<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
		<b>#11, 13, 17, 19</b>		

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>The State may have misinterpreted the question that was being asked. However, the Review Team did not see the functionality that was expected under this section during the system walkthrough or the county visits.</p> <p><b><u>Requirement</u></b></p> <p>The State must revise its response to indicate if CWS/CMS generates alerts or action items as a result of placement provider monitoring activities.</p>						

State Draft Response Dated 2/1/00

The state did not appropriately respond to the question in its original response. This was an oversight by the state staff person assigned to review the response. The state wishes to re-state its answer as follows.

The state Selected Option should be marked "NO."

In California, licensing workers do not carry caseloads. Reminders and action items are linked to particular cases and this functionality is not used for placement provider monitoring.

State Draft Response Dated 11/01/00

The ACF contends the 2/1/00 response sufficiently responds to this requirement. Therefore, this issue is resolved.

**4.(57) Generate documents as needed**— Describe how the automated system supports the generation of documents and reports such as reconciliation and evaluation reports during, or resulting from, the monitoring of contract support.

*State Response:*

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>		<b>NO:</b>	<b><u>X</u></b>
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>N/ A</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

## {PRIVATE }B. V: Court Processing

Goal: To ensure the efficient and effective administration of the processes necessary for involvement with the appropriate judicial body.

This function encompasses an array of legal activities and documentation procedures involving judicial events requiring action on the part of the State agency.

### A. Court Documents



Goal: To ensure the automated support of the accurate and timely production of appropriate court related documents.


1.(58) Describe how the automated system provides for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.

*State Response:*

**Note: The Court Management Section of the CWS/CMS is being redesigned. The following process flow is based on this new design. The notebooks in this section are “hearing”, “petition”, “court report”, and “document court”. (Please redline the screen print notebook sent to you in the following way: change “petition” to “hearing” and “open existing petition” to “petition”).**

**To generate a hearing and associated petition, the child caseworker performs the following:**

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
5.1.3	Open Existing Case 	1. Click the <b>Existing Case</b> Folder. 2. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b> .

Step	CWS/CMS	Action
	Create New Hearing  	<ol style="list-style-type: none"> <li>1. Click the <b>Court Management Section</b> icon (<b>pink</b>).</li> <li>2. Click on the Click the <b>New (+) Hearing</b> Notebook. (The “Minors Name” will default to the focus child for the open case.)</li> <li>3. Complete the <b>ID</b> and <b>Minors</b> Pages <b>(CS.Case.p.hearing.1&amp;2).</b></li> <li>4. Select the applicable “Hearing Type” and “Subtype” on the <b>Minors</b> Page. (see below)</li> <li>5. Select the “Create New - Petition Notebook” button on the bottom of the <b>ID</b> page</li> <li>6. This action will open a Petition Notebook.</li> <li>7. Select the applicable “Welfare &amp; Institutions Code (WIC) Section” and the “Petition Status” as well as fill in other required fields the <b>ID</b> page. <b>(CS.Case.p.petition.1)</b></li> <li>8. Select the applicable “300 WIC Subdivision” and enter the minors involved on the <b>Minors</b> Page. <b>(CS.Case.p.petition.2)</b> (see below)</li> <li>9. Select the “Create New - Petition Document” button on the bottom of the <b>ID</b> page.</li> <li>10. The petition document for this hearing is filled in with data entered and printed.</li> </ol>

To generate a citation or subpoena for this hearing, the child caseworker selects to the Citations and Subpoenas page and enters the information required **(CS.Case.p.hearing.3).**

To notify interested parties of the hearing, the CWS/CMS generates “Notices”. To generate a “notice” or letter, the child caseworker goes to the Notices page and enters the information required. **(CS.Case.p.hearing.4).**

The types of “Notices” in CWS/CMS are:




- Hearing on Petition
- Review Hearing - Juvenile
- Selection of a Permanent Plan - Juvenile
- Indian Child Proceedings - SOC319
- Other

The types of “Service Methods” to deliver a “Notice” in CWS/CMS are:

- Personal Service
- Substituted Service
- Certified or Return Receipt Requested
- First Class Mail
- First Class Mail to Grandparent
- In Person
- Telephone
- Telegram
- Publication
- Other

- **Registered Mail**
- **Notice Given By Court**

To generate additional documentation required for the hearing by the court, the child caseworker performs the following:

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
5.1.3	Open Existing Case 	2. Click the <b>Existing Case</b> Folder. 3. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b> .
	Create New Hearing 	1. Click the <b>Court Management Section</b> icon ( <b>pink</b> ). 2. Click on the Click the <b>New (+) Hearing</b> Notebook. 3. Complete the <b>ID</b> and <b>Minors</b> Pages ( <b>CS.Case.p.hearing.1&amp;2</b> ). 4. Select the applicable “Hearing Type” and “Subtype” on the <b>Minors</b> Page. (see below) 5. Select the “Create New - Court Report Notebook” button on the bottom of the <b>ID</b> page 6. This action will open the <b>ID</b> page of the Court Report Notebook. ( <b>CS.Case.p.court report.1</b> ) 7. Select the applicable “Report Type” and select the “Create New -Court Report Document” button on the bottom of the page. 8. The document is filled in with data entered and printed.

The petition document, along with this supporting documentation, is then filed with the court.

The types of “Hearings” in CWS/CMS are:

- **Detention/Arrestment**
- **Jurisdiction/Disposition**
- **Jurisdiction**
- **Disposition**
- **364 FM Review**
- **366.21(e) 6 month Review**
- **366.22 18 Month Hearing**
- **366.25 Pre -1989 PPH**
- **366.26 Establish Permanent Plan**
- **366.3 Post PPH**
- **Ex Parte Requests**
- **Special/Interim**
- **Transfer In**

- **Administrative Review**
- **Settlement/Pre-trial Conference**
- **Mediation**
- **15 Day Review**
- **366.21(f) 12 month Review**

The “Hearing Subtypes” in CWS/CMS are:

- **300**
- **342**
- **387**
- **388**
- **Continued**
- **Contested**
- **Non-Appearance**
- **Non-Detained**

The “WIC Section” types in CWS/CMS are:

- **300 Original**
- **342 Subsequent**
- **387 Supplemental**
- **388 Modification**

The “Petition Status” types in CWS/CMS are:

- **Pending**
- **Sustained**
- **Dismissed**
- **Never Filed**
- **Superseded**

The “300 WIC Subdivision” types in CWS/CMS are:




- **A Serious Physical Harm**
- **B Failure to Protect**
- **C Serious Emotional Damage**
- **D Sexual Abuse**
- **E Severe Physical Abuse (Minor Under Five)**
- **F Conviction of Another Child's Death**
- **G No Provision for Support**
- **H Freed for Adoption**
- **I Cruelty**
- **J Abuse of Sibling**

The “Report” types in CWS/CMS are:

- **FaceSheet**
- **Detention Hearing Report**

- **Jurisdictional/Dispositional Hearing Rep**
- **Status Review Hearing Report**
- **Court Report Addendum**
- **Interim Review Report**
- **WIC Section 366.26 Hearing Report**
- **15 Day Detention Review Report**
- **Application and Order**
- **Declaration of Due Diligence**
- **Interim Search Results**

The child caseworker must request supervisor approval after a court report has been completed.  
All Court Report Documents require supervisor approval.

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
5.1.3	Update Existing Case 	1. Click the <b>Existing Case</b> Folder. 2. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b> .
	Request Supervisor Approval of Court Report 	1. Click the <b>Court Management Section</b> icon ( <b>pink</b> ). 2. Open existing <b>Hearing</b> Notebook. 3. Open Existing Court Report. 4. Click the <b>Action</b> Menu drop down. Click the <b>Approval</b> Command. 5. In the Approval Detail Dialog Box, <b>Approval Status</b> drop down, click <b>Pending Approval</b> . Enter an Action Date and rationale for approval, as appropriate.

Client Services - Case [Bellemey, Barton C] - [ Court Report [Detention Hearing Report]]

File Edit Search Action Associated Attach Window Help Wizard

Approval Detail - <Court Report>

Approval History

	Approval Status	Date
1	Pending Approval	01/06/1999

OK  
Cancel  
Help

Approval Status  
Pending Approval

Further Approval Needed By

Action Date: 01/06/1999 Action Time: 10:13am Submitted By: Peep, Little B

Rationale

Ready Case [Bellemey, Barton C] -> Hearing [12/24/1998] -> Court Report

Start Win... Dr. ... Deb... CWS... Clie... Case... Appro... 10:14 AM

All SACWIS requirements have been met.



*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<u>X</u>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	CS.Case.p.hearing. 1&2		SD_COURT #1- 10	SR_COURT #1-5
	CS.Case.p.petition.		SD_PETITION #1	SR_COURT #8
	CS.Case.p.petition. 2			
	CS.Case.p.court report.1			
	CS.Case.p. hearing.3			
	CS.Case.p. hearing.4			

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**B. Notifications**

Goal: To ensure that involved individuals receive accurate and timely notifications of upcoming court activities.

1.(59) Describe how the automated system notifies relevant parties of impending court actions.

*State Response:*

**As stated above: to notify interested parties of a hearing, the CWS/CMS generates “Notices”. The notices are user initiated. To generate a “Notice” or letter, the child caseworker goes to the Notices page of the hearing notebook and enters the information required. (CS.Case.p.hearing.4).**

The “Proof of Service” report is generated as an attachment to a “Notice of Hearing on Petition”, “Notice of Review Hearing – Juvenile”, “Citation to Appear”, or “Subpoena report for a WIC 366.26 hearing”. It includes where and when the notice, citation, or subpoena was served and the method of service.

**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	CS.Case.p.hearin g.4			SR_COURT #2- 5

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

### C. Tracking

Goal: To provide system support to ensure the effective and efficient administration of activities resulting from decisions reached during court proceedings.

**1.(60) Describe how the automated system monitors and tracks court-related events requiring State agency action, such as recording the initial request and final outcome of all petitions, trials, hearings, detention proceedings, periodic reviews, adoptions, and change of placements. Are court decisions recorded in the electronic case folder?**

*State Response:*

**The child caseworker records the outcome of all court decisions in two places in CWS/CMS.**

**On the Results page in the Court Management Section, hearing notebook, the child caseworker fills in the “Court Results”, “Findings Made”, and “Orders Made” fields and selects the appropriate radial buttons “As Recommended”, “As Recommended with Modifications”, “Contrary to Recommendations”, and “Continued”. (CS.Case.p.hearing.5)**

**The CWS/CMS “Findings Made” are:**

- **Notice Not Given As Required By Law**
- **Minor Described By Section 300**
- **Lack of Pre -Place Prevent Services Not Reasonable**
- **Pre-Place Prevent Services Not Reasonable**
- **Reasonable Services Not Provided/Offered**
- **Substantial Probability of Return**
- **No Substantial Probability of Return**
- **Paternity Finding**
- **Other**




**The CWS/CMS “Orders Made” are:**

- **Released to Parents**
- **Detention Ordered - Out of Home**
- **Detention Ordered - In Home**
- **Non Disclosure Granted**
- **Petition Dismissed**
- **Voluntary Guardianship (360 (a))**
- **Dependency Declared**
- **Inter-County Transfer In Accepted**
- **Inter-County Transfer Out Ordered**
- **FM Services Ordered**
- **Placement Ordered - In Home**
- **FR Services Ordered**
- **Placement Ordered - Out of Home**
- **Return Home Ordered**
- **FR Services Need Not Be Provided**
- **FR Services Terminated**
- **PP Ordered for Adoption**
- **PP Ordered for Guardianship**
- **PP Services Ordered**
- **Parental Rights Term. - Mother**
- **Parental Rights Term. - Presumed Father**
- **Parental Rights Term. - Alleged Parents**
- **Guardianship Established**
- **Long Term Foster Care Established**
- **Guardianship Terminated**
- **Terminate Dependency-Maintain Jurisdiction**
- **Jurisdiction Terminated**
- **Dependency Reinstated**
- **All Prior Orders Remain in Effect**
- **Protective Custody Warrant Issued**
- **Protective Custody Warrant Recalled**

- Bench Warrant Issued
- Bench Warrant Recalled
- Other Court Order
- 360 (b)

Also, the child caseworker records the outcome of court decisions on the ID page in the Court Management Section, petition notebook in the "Petition Status" field. (CS.Case.p.petition.1)

To establish a permanent placement plan, the child caseworker performs the following:

Step	CWS/CMS	Action
5.1.2	Start CWS/CMS 	1. Click the <b>Client Services</b> icon.
5.1.3	Open Existing Case 	2. Click the <b>Existing Case</b> Folder. 3. In the <b>Open this Case</b> grid, click the desired case. Click <b>OK</b> .
	Create New Hearing 	1. Click the <b>Court Management Section</b> icon ( <b>pink</b> ). 2. Click on the Click the <b>New (+) Hearing</b> Notebook. 3. Complete the <b>ID</b> and <b>Minors</b> Pages <u>(CS.Case.p.hearing.1&amp;2)</u> . 4. On the <b>Minors</b> page select the "Hearing Type" = <b>366.26 Establish Permanent Plan</b> . 5. Select the "Create New - Court Report Notebook" button on the bottom of the <b>ID</b> page 6. This action will open the <b>ID</b> page of the Court Report Notebook. <u>(CS.Case.p.court report.1)</u> 7. Select the "Report Type" = <b>WIC Section 366.26 Hearing Report</b> and select the "Create New -Court Report Document" button on the bottom of the page. 8. The document is filled in with data entered and printed.

The following reminders are specific to the Court Management Section of CWS/CMS:

#### #1 - 15-Day Detention Report Due

If the Hearing Type is "15 Day Review", Continuance Reason has no value, and there is no "15 Day Detention Review" Court Report assoc to the hearing AND to the minor, then create a "15 Day Detention Report Due" reminder with a due date equal to the Hearing Date, otherwise a '15 Day Detention Report Due' reminder should not exist

#### #9 - Court Report Due

If the Hearing Type is 364, 366.21(e), 366.21(f), 366.22, 366.25, 366.26, or 366.3 and Continuance Reason has no value and no approved Court Reports exist that are associated to this Hearing and to this minor (with the listed Hearing Type), then create a 'Court Report Due' reminder with a due

#### #10 - Declaration of Due Diligence Due

If the Hearing Type is 366.25 or 366.26 and Continuance Reason has no value and the child(ren) calendared for the hearing has a parent whose whereabouts is unknown and there is no 'Decl of Due Diligence' Notebook for this parent for this Hearing, then create a 'Declaration of Due Diligence for 366.25 or 366.26 Hearing Due at Court' reminder with a due date equal to the Hearing Date minus 75 calendar days otherwise a 'Declaration of Due Diligence for 366.25 or 366.26 Hearing Due at Court' reminder should not exist. Workstation should perform all delete processing except the Host will check for and delete all tickles that are associated to the Case-Hearing being deleted.

#### #23 - Review Hearing Notice Due

If the Hearing Type is 364, 366.21(e), 366.21(f), 366.22, 366.25, or 366.3, Continuance Reason has no value, and all Date of Service have no value and Case is not closed then create a 'Review Hearing Notice Due' reminder with a due date equal to the Hearing Date minus 17 calendar days otherwise a 'Review Hearing Notice Due' reminder should not exist. Workstation should perform all delete processing except the Host will check for and delete all tickles that are associated to the Case-Hearing being deleted.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE } State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Case.p.hearing.1&2	#1, 9, 10, 23	SD_COURT #10	
	CS.Case.p.court report.1)			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

### D. Indian Child Welfare Act

Goal: To provide system support to ensure the effective and efficient administration of activities necessary to meet the requirements of the Indian Child Welfare Act.

#### 1.(61) Describe how the automated system supports the requirements of the Indian Child Welfare Act.

*State Response:*

Prior to generating any court document, the following pop-up menu is shown:

This information is included on all Court Report documents generated by CWS/CMS.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
			SD_COURT #1-10	

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**Finding:**

The system appears to contain more functionality than is indicated in the State's response.

**Recommendation**

The State should expand its SARG response to describe fully the functionality of the system.

## {PRIVATE }B. VI: Financial Management

Goal: To support the effective and efficient management of the processes necessary to ensure the accurate and timely authorization, processing, and reconciliation of financial records and transactions.

This function tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.

**The State of California's Statewide Automated Welfare Systems are either in development or modification. CWS/CMS is waiting until these systems are stable. At that time, interface requirements will be defined and the CWS/CMS will require modifications.**

### A. Accounts Payable

Goal: To insure the accurate and timely submittal of information to support payment, or voucher creation, to all providers.

**1.(62) Describe how the automated system supports the accounts payable process (billing, vouchers, etc.). \***

*State Response:*

**LA County uses CWS/CMS to issue payments through the LA Payee Page.  
(CS.Ref/Case.r.placement home.11)**

**Other counties use CWS/CS to track costs of certain services. These costs are entered into the CWS/CMS on the Ongoing Requests and Incidental Payment Pages (CS.Case.r.placement.6 & 7)**

**The Ongoing Requests page allows the child caseworker to enter Special Care Increment Payment Types. The CWS/CMS predefined types are:**

- **Bed Wetting**
- **Foster Parent Participation in Therapy**
- **Infant Supplement - Family**
- **Infant Supplement - Group Home**
- **Intensive Supervision**
- **Kidstep Supplement**
- **Ongoing School Problem**
- **Soiling of Pants**
- **Transportation**
- **Shelter Care Allowance**
- **State Authorized Allowance**
- **County Authorized Allowance**
- **SOC158**



The Incidental Payment page allows the child caseworker to enter Incidental Payment Types. The CWS/CMS predefined types are:

- Adoption Expenses
- Back to School Clothing Allowance (non-auto)
- Burial Expenses
- Initial Clothing Allowance
- Replacement Clothing Allowance
- Clothing Allowance-District Issued
- State Authorized Allowance
- 

The SACWIS requirements in this section are met for Los Angeles county for these certain types of services. This is a limited implementation.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref/Case.r. placement home.11			
	CS.Case.r.place ment.6 & 7			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>CWS/CMS does not support the accounts payable process. Los Angeles County has developed an interface between CWS/CMS and its accounting system to pass data on placement providers only, not service providers. For the other 57 counties, no data passes between CWS/CMS and the county accounting system. The use of separate data interfaces between CWS/CMS and local accounting systems does not conform to SACWIS statewide requirements.</p> <p>The system does not support payments to adoptive parents.</p> <p><b><u>Requirements</u></b></p> <p>The State must modify CWS/CMS to support the accounts payable process, either within the application or through an interface with the appropriate county's accounting system. CWS/CMS must be able to connect a payment to an authorized placement or service provider, including the service authorization, the client, the number of units of service, the duration of the services, and the service</p>						

start and stop dates, as appropriate.

The State must discontinue the use of manual processes and multiple title IV-A systems to handle overpayments. The State must ensure that CWS/CMS is able to track all applicable payments, including “special care” payments.

The State must indicate in the SARG and future IAPDUs how and when it plans to complete and implement this required SACWIS functionality.

State Draft Response Dated 2/1/00

As noted elsewhere, CWS/CMS provides support for eligibility and payment functions pertaining to board and care, specialized care increments and incidental payments, all concerning placement costs or board and care accounts payable. As previously noted, Los Angeles County uses CWS/CMS to issue payments through the LA Payee Page. However, CWS/CMS was not designed to support functions pertaining to service costs or service accounts payable. Similarly, CWS/CMS was not designed to support accounts receivable functions (e.g., overpayments, trust funds, SSI payments, etc), or claim adjustments and the generation of service provider payments and remittance advice. Rather, these accounts payable and claiming functions vary from county to county in accordance with State accounting requirements and local county operations. Again, CWS/CMS does not have the functionality to track service costs, as opposed to placement costs, at this time, and California counties do not currently report the expenditure of State or federal service monies, i.e., Title IV-B and State General Fund dollars, on a case specific basis. These local accounts receivable, accounts payable and claiming functions are not now centralized in California. The CDSS believes there has been a misunderstanding of the State's intent, and would be interested in discussing this matter further with ACF staff. Further, we would be interested in discussing your interpretation of the authorizing federal regulation.

Draft Response Dated 11/01/00

California has conducted an independent assessment of the current environment in its 58 counties for performing Financial Management functions as required for the SACWIS. The purpose of this review was to document the Accounts Payable, Accounts Receivable, and claims functions of counties' financial/accounting systems supporting Child Welfare Services. This review will assist in defining the scope of a statewide system.

Development efforts are currently underway to replace income maintenance legacy systems with Statewide Automated Welfare Systems (SAWS) in Los Angeles, the Consortium IV (C-4), and the CalWIN consortium. The ISAWS consortium faces no imminent changes resulting from a major system replacement effort since Financial Management functionality is currently provided. All current or planned SAWS systems will support the financial management functions of accounts receivable, accounts payable, and claims processing to support the range of SAWS programs. These SAWS systems can be linked to CWS/CMS to fully support Title IV-E program's financial needs. Given the current environment, building a stand-alone financial management system or incorporating this functionality into CWS/CMS would be a time consuming and expensive effort that would duplicate functionality being built in SAWS programs. The SAWS systems address financial management across all welfare programs, which by their nature have more in common with each other than with the case management system of CWS/CMS.

SACWIS requirements call for financial management functionality to be contained in the SACWIS system or to be available through an automated interface to a statewide or department financial system. California's vision for SACWIS financial management functionality will capitalize on the development efforts the county consortia have undertaken to support statewide welfare systems. This strategy will also be consistent with the approach for

Title IV-E eligibility determination as discussed above. This approach will avoid the duplicative costs of developing this functionality in CWS/CMS. The approach for Financial Management can be summarized as follows:

- Continue Financial Management functionality in ISAWS and Los Angeles
- Use planned CalWIN and C-4 financial management functionality
- Add automated CWS/CMS interfaces with ISAWS, CalWIN, and C-4 according to their respective project schedules
- Use the existing Los Angeles County interfaces between CWS/CMS and its accounting system

Since functionality of planned or existing SAWS would be used for Financial Management, no additional costs to the county consortia are expected. The only additional costs anticipated are those of developing the interfaces between CWS/CMS and ISAWS, CalWIN, and C-4. These expenses are assumed to be within the \$10M annual application maintenance budget.

## B. Accounts Receivable

Goal: To ensure the accurate and timely submittal of information to support the collection of funds due the agency.

**1.(63) Describe how the automated system supports the accounts receivable process (e.g., overpayments, trust funds, SSI, etc.). \***

*State Response:*

**CWS/CMS does not support the accounts receivable process.**

**The SACWIS requirements are not met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<b><u>Finding</u></b> CWS/CMS does not support the accounts receivable process.				

**Requirement**

CWS/CMS must be modified to support the accounts receivable process, either within the application or through an interface with a county's accounting system. CWS/CMS must be able to link funds received to the appropriate client.

State Draft Response Dated 2/1/00

Please see response to 1.(62), State Response Dated 2/1/00.

State Draft Response Dated 11/01/00

Please see response to 1.(62), State Response Dated 11/01/00.

**C. Claims**

Goal: To ensure the efficient and effective administration of a payment/financial system by providing the information necessary to produce the documentation to adjust claims.

**1.(64) Describe how the automated system supports the generation of provider payments and remittance advice. The response should describe how the automated system supports claims processing resulting from the notification of status changes (including termination of the case and/or information received from other Federal/State programs). \***

*State Response:*

Once again, LA County does support the generation of provider payments through the LA Payee Page. (CS.Ref/Case.r.placement home.11)

CWS/CMS generates the SOC 158 document, "Foster Child's Data Record and AFDC-FC Certification" which is given to an eligibility worker to generate payments from the Statewide Automated Welfare System.

**Implementataion of the SACWIS requirements are limited to what is shown above.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	CS.Ref/Case.r.pl acement home.11		SD_PLACEME NT #4	

{PRIVATE} ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
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ACF Comments
<p><b><u>Finding</u></b></p> <p>CWS/CMS does not support the generation of provider payments and remittance advice.</p> <p><b><u>Requirement</u></b></p> <p>CWS/CMS must be modified to support the generation of provider payments and remittance advice. Provider payments can either be generated from within CWS/CMS or through an interface to a county accounting system.</p>

State Response Dated 2/1/00

Please see response to 1.(62), State Response Dated 2/1/00.

State Draft Response Dated 11/01/00

Please see response to 1.(62), State Response Dated 11/01/00.

## {PRIVATE }B. VII: Administration

This function incorporates procedures for ensuring support for efficient management of as well as reliable and accurate operation of the system.

Goal: To provide reliable and accurate information, through automation, for the efficient and effective management of personnel, mandated reporting and system administration.

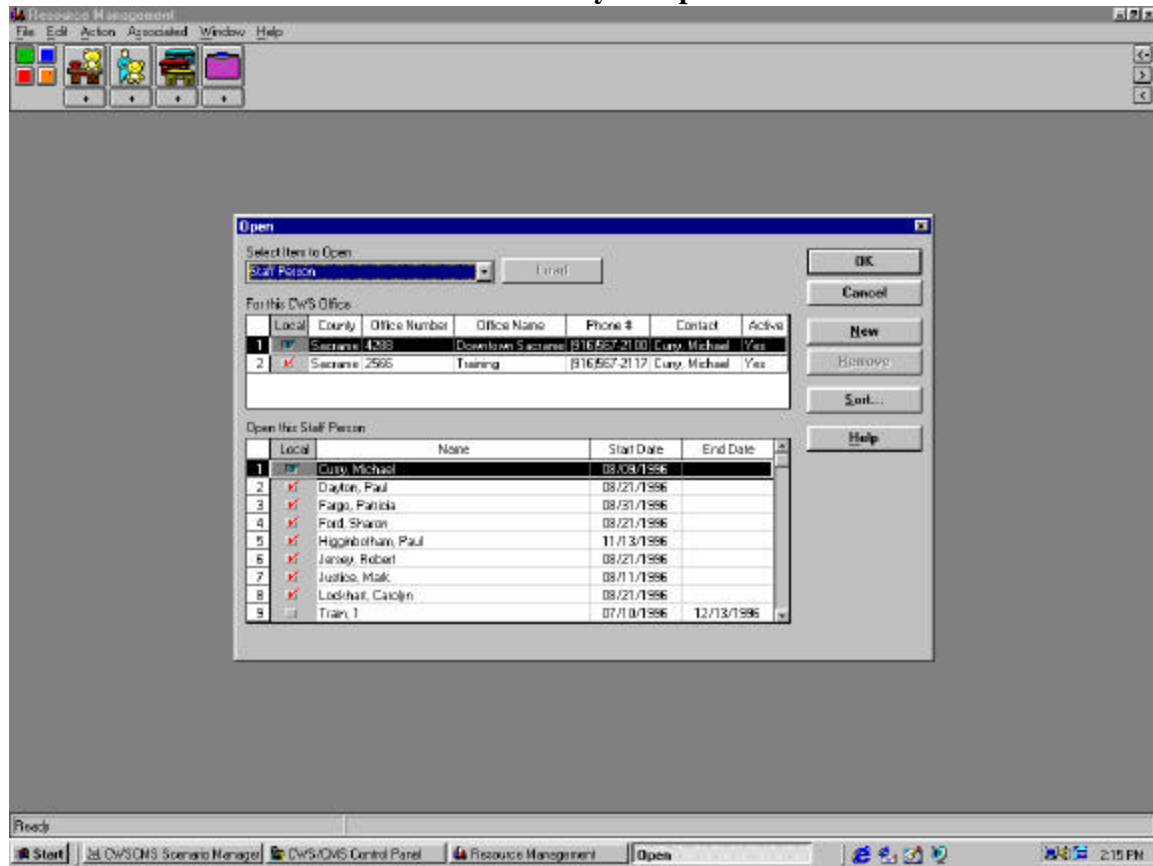
### A: Staff Management

Goal: To provide system support to maintain accurate and current employee information and to assist and support the employee supervision function.

**1.a.(65) Record and update employee information \*** — Does the system contain records of employees, showing name, employee number and office?

*State Response:*

The **RESOURCE MANAGEMENT** application contains records of employees in each CWS office. The user selects the **RESOURCE MANAGEMENT** application, then the **County Organization Section** (green button), and finally the existing staff person notebook. The pop-up screen below comes up. The user can then choose the applicable CWS Office through the drop-down menu: “For this CWS Office”. Then the user can choose any staff person in the CWS Office selected.



Once a staff person is chosen, the staff person notebook, ID Page comes up. (RM.g.staff person.1)  
The employee “Logon ID” field, on the Logon Page, is unique for each employee. (RM.g.staff person.4)

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	RM.g.staff person.1			
	RM.g.staff person.4			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**1.b.(66) Record and update employee information** — Do records of employees contain demographic information and results of Background Criminal Investigation checks?

*State Response:*

The staff person notebook Specialties Page contains the employee’s “Language” and “Functional Specialty” fields. (RM.g.staff person.2)

CWS/CMS Functional Specialty types are:

- Adoptions
- After Hours Emergency Response
- Court Officer
- Cultural Specialty: Asian/Pacific
- Cultural Specialty: Black Family
- Cultural Specialty: Indian
- Cultural Specialty: Latino/Hispanic
- Dependency Investigation
- FuncDual Diagnosis Children
- Emergency Response
- Family Maintenance/Court

- Family Maintenance/Voluntary
- Family Preservation Program
- Family Reunification/Court
- FuncFamily Reunification/Voluntary
- Hard to Place Children
- Hearing Impaired Children/Family
- High Risk
- HIV Counseling
- ICPC Coordinator
- Independent Living
- Institutionalized Custodial Care
- Intake and Detention Control
- Intake Screening/Child Abuse Hotline
- Medically Fragile Children
- Parenting Training
- Permanent Placement
- Physically Disabled Children
- Pregnant Minor/Minor Parent
- FunctSexual Abuse
- Substance Exposed Children
- FunctiT&D Homemaker
- Undocumented Children

*Documentation References:*

{PRIVATE } State Selected Option	YES:		NO:	<u>X</u>
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	RM.g.staff person.2			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N/ A	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**2.(67) Record and track case assignment \*** — Describe how the system provides for the assignment of cases to workers, tracks workload assignments, and identifies on-call staff.

*State Response:*

Administration Section  
CWS/CMS – State of California

09/02/0411/09/00



The CWS/CMS personnel organizational structure is as follows:

- State
  - County
    - Office
      - Unit (county defined)
        - Emergency Response
        - Assignment Desk
        - Family Maintenance
        - Adoption
        - Permanency Planning
        - Placement
        - TBD

The supervisor can view a child welfare worker's caseload by opening the CASELOAD application and clicking on the caseload notebook. "Select Item to Open" = Caseload, and select a Unit/Caseload to open. This takes you to the Summary page (C.caseload.1).

To assign a referral or case to a worker, the supervisor uses the Assignment Page. This page is found in the CLIENT SERVICES Application, Referral or Case Primary Pages, page 4. (CS.Ref/Case.primary pages.4)

The supervisor can track workload assignments through this page as well. Each caseload assignment is given a "Role Type" and a "Responsibility".

The CWS/CMS Role Types are:

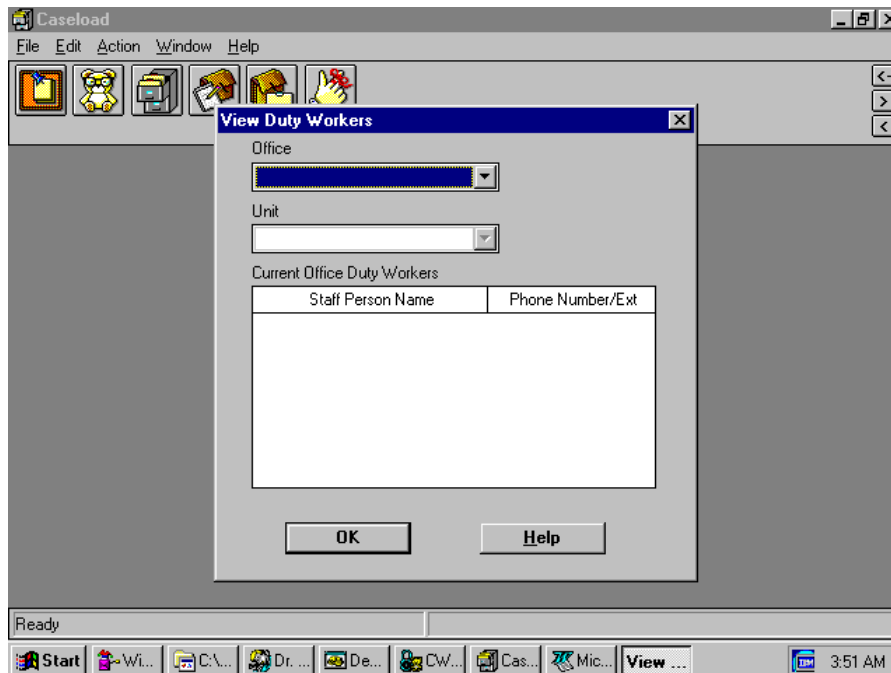
- Adoptions Worker
- After Hours/On-Call Worker
- Case Aide
- Court Dependency Investigator
- Court Worker
- Eligibility Worker
- ER Worker
- Family Preservation Worker
- ICT Contact Person
- Intake Detention Control Worker
- Intern
- Public Health Nurse
- Screener
- Volunteer
- ICPC Case Worker

The CWS/CMS Responsibility values are:

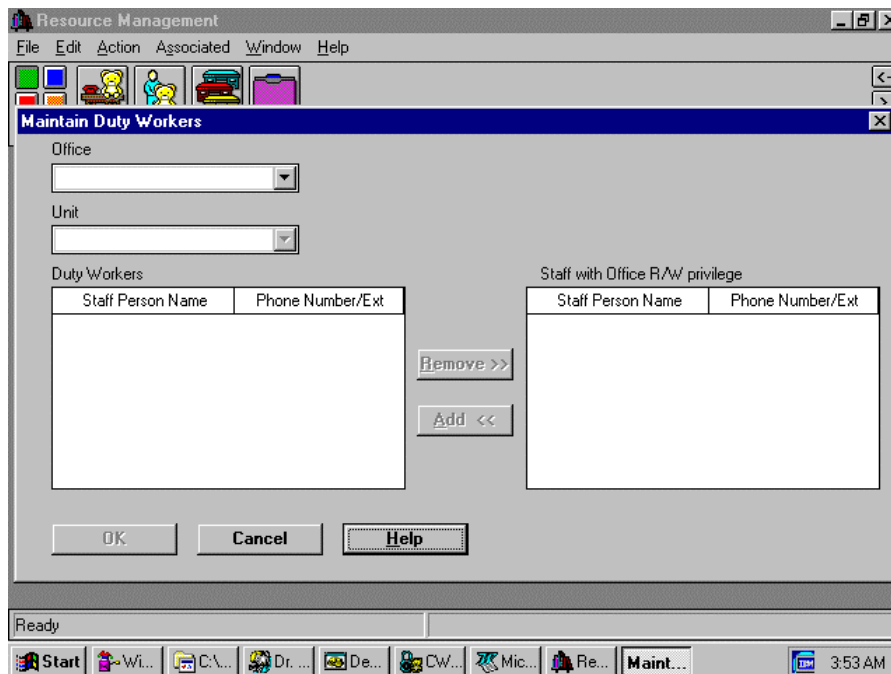
- Primary
- Secondary

- **Read Only**

The on-call staff can be viewed from the CASELOAD Application, Action menu: View Duty Worker.



This duty worker is assigned the job through the RESOURCE MANAGEMENT application, Action menu: Maintain Duty Worker



**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
	C.caseload.1			
	CS.Ref/Case.pri mary pages.4			

{PRIVATE} ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>The Review Team found that staff are using manual reports, “whiteboards” and fax machines to assign cases between offices. Some staff indicated that they know they have a new case when they receive the physical record in their inboxes.</p> <p>The system is not being fully utilized.</p> <p><b><u>Requirement</u></b></p> <p>The State must ensure that staff is properly trained in the use of and fully and appropriately use this mandatory SACWIS functionality.</p>						

State Draft Response Date 2/1/00

The Governor’s Budget appropriates funds to all counties to provide ongoing CWS/CMS training with a statewide CWS/CMS curriculum. The CWS/CMS training curriculum was developed with input from all regions of the state, and all counties use the curriculum either through county training, or through vendor training. Training courses are offered according to the type of user. The New User training focuses on the basics of CWS/CMS; Intermediate/Advanced training focuses on the more difficult tasks in CWS/CMS; Supervisor/Manager training focuses on the supervisory process, approvals, and management reports; Advanced Trainer/Mentor training focuses on all aspects of CWS/CMS to enable the user to assist other users; and the Database training focuses on extraction and interpretation of caseload data.

The Supervisor/Manager training course provides instruction on the use of the Caseload Notebook. Specifically, the Caseload module teaches the user how to assign cases, change primary/secondary assignment for a case, track case assignment history, transfer case assignment, and reassign a caseload.

The New User training also provides instruction on the use of the Caseload Notebook. Specifically, the Caseload module teaches the user how to: view information about the cases and referrals in a specific caseload; identify case assignment date; identify the name of the case or referral, type of assignment; identify case service component; and determine worker responsibility for active assignments to each case or referral in the caseload.

Draft Response Dated 11/01/00

First, all cases in CWS/CMS must have a primary assigned worker. No case can be created without a primary worker and the system prevents end-dating an assignment to one social worker without creating a new assignment. Therefore, in CWS/CMS, each case always has a staff person with assigned responsibility for the case. The state believes that the ACF reviewers misunderstood the statements made to the reviewers concerning new assignments. When cases move from office to office, or within large county office buildings or multi-county locations, counties may send e-mails or make calls to the newly assigned staff person to alert him that a new case has been assigned. This is to ensure that the newly assigned staff person can review the on-line case as quickly as dictated by the State required timeline for investigation (immediate, 3-day or 10-day). Further, CWS/CMS has not eliminated hard copy case records since Court orders and other original documents are still part of the case record. An email alert, a fax, a phone call and the delivery of a hard copy case file may be part of the process in some jurisdictions. These activities do not constitute the assignment of a case, as stated in the finding above, because case assignments can only be done in CWS/CMS. Further, the state observes that the process of electronic assignment is part of the re-engineering process within county offices as social workers adjust to electronic case records. The state is reviewing business processes with the counties on an ongoing basis and feels social work staff are adjusting to using electronic files as their primary case record. Additional support staff positions were added to CWS/CMS in the current year to provide for ongoing support and consultation.

The state is also providing ongoing training in CWS/CMS. As noted earlier in this document, the Governor's Budget appropriates funds to all counties for ongoing CWS/CMS training with a statewide CWS/CMS curriculum. The CWS/CMS training curriculum was developed with input from all regions of the state, and all counties use the curriculum, with training provided by county or vendor staff. Training courses are offered according to the type of user. The New User training focuses on the basics of CWS/CMS; Intermediate/Advanced training focuses on the more difficult tasks in CWS/CMS; Supervisor/Manager training focuses on the supervisory processes, approvals, and management reports; Advanced Trainer/Mentor training focuses on all aspects of CWS/CMS to enable the user to assist other users; and the Database training focuses on extraction and interpretation of caseload data.

More specifically, the Supervisor/Manager training module provides instruction on the use of the Caseload Notebook. This Caseload training module teaches the user how to assign cases; change primary/secondary assignment for a case; track case assignment history; transfer case assignment; and reassign a caseload. The training module also answers the following questions concerning case assignment.

Assignments:

- What is the difference between primary and secondary assignments?
- Is there any other kind of assignment?
- Where can the user assign referrals and cases?
- What is the assignment history?

Transfer Assignments:

- How does a social worker request a unit supervisor to transfer a case to another social worker?

- What is the best way for a supervisor to transfer referrals and cases?
- What is the difference between the transfer assignment command (in the caseload application) and the reassign caseload command (in the resource management application)?

Reminders:

- Where do reminders come from?
- How can reminders be viewed?

The New User training also provides instruction on the use of the Caseload Notebook. Specifically, the Caseload module teaches the user how to view information about the cases and referrals in a specific caseload; to identify case assignment date(s); to identify the name of the case or referral and type of assignment; to identify the case service component; and to determine worker responsibility for active assignments in each case or referral in the caseload.

The State requests this item be closed.

**3.(68) Assist in workload management** — Describe how the system supports the decision-making process in the assignment of cases to workers and how it helps workers to manage their own caseloads (such as providing "to do" lists and prioritization of Reminders).

*State Response:*

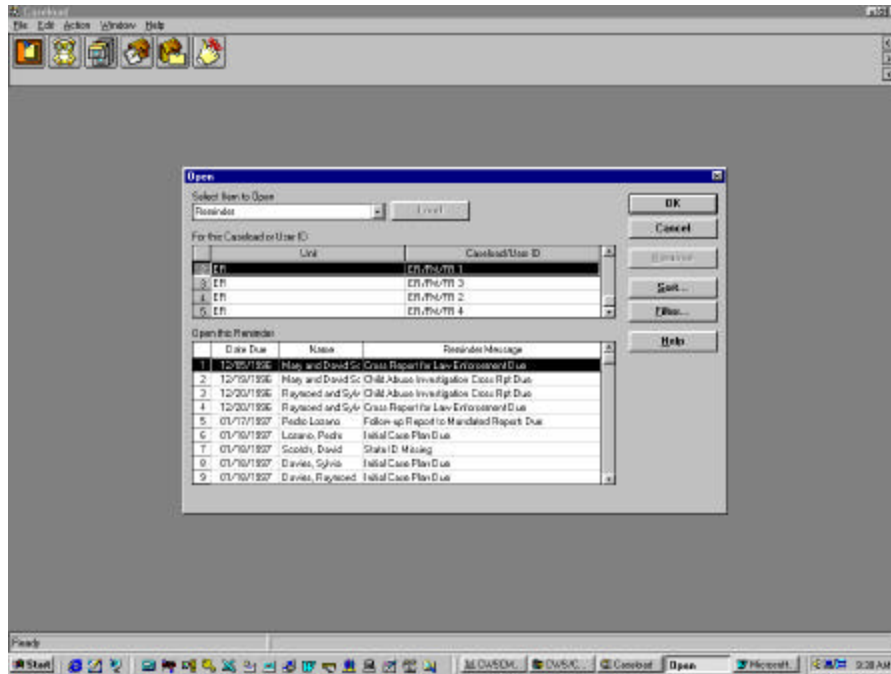
**In the RESOURCE MANAGEMENT application, the caseload “Ceiling” field can be defined. This field indicates the maximum weight of a caseload. Ceilings vary across counties. All counties do not use ceilings. (RM.g.assignment unit.3)**

**When a new case is being assigned, the “Assignment Weighting” field of the CLIENT SERVICES application can be entered. This field indicates the effort, as defined by the county, of the assignment selected in the Assignment grid. (CS.Case.g.primary pages.3)**

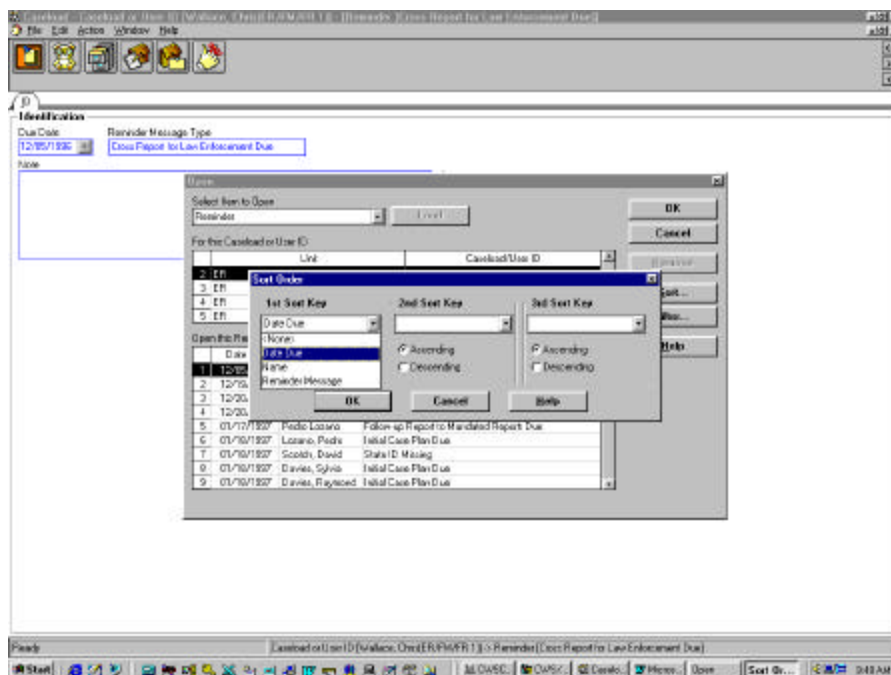
**The supervisor uses the CASELOAD application to view total caseload weights. The “Summary” area of the Summary page in the supervisor notebook contains three fields: “Ceiling”, “Weight at Logon”, and “Total Cases/Referrals”. The “Ceiling” field is carried over from the data entered in the RESOURCE MANAGEMENT application. The “Total Cases/Referrals” data is calculated by CWS/CMS. The “Weight at Logon” field is the total weight of the all cases and referrals for the caseload selected. (C.supervisor.1)**

**The supervisor can also view a child welfare worker’s caseload by opening the CASELOAD application and clicking on the caseload notebook. “Select Item to Open” = Caseload, and select a Unit/Caseload to open. This takes you to the Summary page (C.caseload.1).**

**CWS/CMS creates reminders at predetermined times in any process. As well, the child caseworker can create their own unique reminders. The supervisors and worker can track the status/reminders of a case by viewing the case reminders by opening the CASELOAD application, click the caseload notebook. “Select Item to Open” = Reminder (see below).**



To further ease in the management of referrals and cases, the CWS/CMS software allows a sort on the reminders (see below).



All the Caseload Reports contain calendars of court hearings, caseload reminders, due date to update cases in a caseload, and visits and contact schedule for a caseload. They are available from the CASELOAD application.

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<b><u>X</u></b>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
	RM.g.assignment unit.3			
	CS.Case.g.primary pages.3			
	C.supervisor.1			
	C.caseload.1			SR_CASELOAD 1-5

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**4.(69) Track employee training** — Does the system track employee training needs and training received.

*State Response:*

**The system does not track employee training.**

*Documentation References:*



{PRIVATE } State Selected Option	YES:		NO:	<u>X</u>
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N/ A	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**5.(70) Document employee performance** — Describe how the system supports the staff review and evaluation process.

*State Response:*

**The system does not support the staff review and evaluation process.**

*Documentation References:*

{PRIVATE } State Selected Option	YES:		NO:	<u>X</u>
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N/ A	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

## B: Reporting

Goal: To automate the processes necessary to generate mandated and user-definable reports.

**1.a.(71) Produce AFCARS Report \*** — Describe how the system is used to capture required AFCARS information and produce the report in the specified format. This discussion should note the

date that the first AFCARS data submission was generated exclusively from the new SACWIS and address the following topics:

- the quality assurance edits used to insure that complete, timely and accurate data are entered into the system;
- the extraction methodology and quality assurance provisions that are used to insure that the report is accurate;
- action plans to correct any AFCARS deficiencies identified through the use of the Data Quality Utility (DQU) or the AFCARS Penalty Report; and
- if an AFCARS review has been conducted, the progress the State has made towards completing changes that may have been identified in a Corrective Action Plan.

*State Response:*

**The Appendix A, attachment 14, “AFCARS Adoption Design Specification” and Appendix A, attachment 15, “AFCARS Foster Care Design Specification” describes how the CWS/CMS supports the collection of AFCARS information. The State of California submitted their first AFCARS reports in May 1998.**

#### **QUALITY ASSURANCE ON DATA ENTRY**

**This May 1998 submittal used CWS/CMS for the Foster Care Reporting, however, the California Department of Social Services supplied the Adoption information for the State report.**

**Mandatory fields in the CWS/CMS application are highlighted with yellow and must be filled in at the appropriate time in the process. If these fields are not completed, the child caseworker can not go on with the process. Many of the AFCARS fields are mandatory. However, AFCARS errors are typically of omission. There is a request to change CWS/CMS to color-code AFCARS data fields. When implemented, this should highlight their importance to the child caseworker in the field.**

**There is a federal requirement for child caseworkers to record information concerning a child entering or leaving foster care within 60 days of the event. CWS/CMS records when the child caseworker enters this information into the system. This data can be audited to insure that timely data is entered into the system.**

**A majority of the manual data entered into the CWS/CMS must satisfy business rules coded into the application. Examples of some business rules are that the system can not have duplicate children, a placement needs to be ended before a new one can be entered, a child client must be less than 18 years of age. Although some data fields have drop down lists or edit rules, the data entered into any field is only as accurate as the user input.**

#### **QUALITY ASSURANCE ON DATA EXTRACTION**

**The data extraction method is shown in the Design Specifications. The Foster Care AFCARS electronic file is created by batch routines that collect and summarize information on the CWS/CMS database. The resulting statistical data is formatted as required by AFCARS.**

**Prior to submitting our AFCARS reports, we run the ACF supplied Data Quality Utility and Penalty Report on our data. Based on the analysis of these reports, we have identified problems in the following three areas:**

- 1) programming problems that we have corrected before AFCARS submittal
  - 2) data problems which we can correct before submission (for example, conversion caused)
  - 3) data problems used to identify possible software changes in the online application
- (Note: Because the DQU and Penalty Report are work station based, we can only check about 20% of the foster case data. We have loaded all of the adoption children into the adoption DQU and Penalty.)

### ACTION PLAN

We do have some work to do on our AFCARS process. Based on the last two submissions, we are working on a Corrective Action Plan. As stated above, most errors are of omission. There are two main approaches the State is taking to remedy these errors: education and software changes.

### AFCARS REVIEW

No AFCARS review has been conducted to date.

All SACWIS requirements have been met.

#### *Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, attachment 14, "AFCARS Adoption Design Specification"	RM.r.placement home.5			
Appendix A, attachment 15, "AFCARS Foster Care Design Specification"	CS.Ref/Case.r.placement home.5			

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<p><b><u>Finding</u></b></p> <p>While the CWS/CMS has a number of strong points related to AFCARS, including the AFCARS Wizard, there are some fundamental problems with the collection of AFCARS data. Since staff are not required to use the system to process their casework, the AFCARS information produced by the CWS/CMS system is questionable.</p>				

**Requirement**

The State must indicate in its response how it intends to provide complete and accurate AFCARS data from CWS/CMS. The State should also update its response to indicate how data on Juvenile Justice children is captured and included in the AFCARS Report.

State Draft Response Dated 2/1/00

As noted throughout this document, the State has developed and is using a variety of techniques and strategies designed to ensure that CWS/CMS is both utilized by county staff and captures accurate AFCARS data. These strategies and actions include producing county monthly AFCARS reports to determine the level of compliance and the quality of the data that is entered into CWS/CMS, as well as color-coding the AFCARS required fields for greater visibility. Equally important, the State and county partners continue modifying CWS/CMS to make it more user friendly. This includes making the application easier to navigate and more functional in helping workers do their case management work. As noted above, some of the changes to CWS/CMS include modifying and updating the Court Management Section as well as providing navigational tools to ensure that all the required data is entered into CWS/CMS.

Regarding the issue of requiring staff to use the system to process their casework, the State would like to engage our federal partners in a more detailed discussion. We have concerns regarding the state mandating system use, and would appreciate discussing this in the context of "carrots and sticks."

As previously noted, except for Los Angeles County, the AFCARS data on Juvenile Justice children is obtained from the SOC158 form that is filled out by the 57 Probation Departments in the State. As indicated elsewhere in this State Draft Response, Los Angeles County Probation staff completes hard copies of county form Prob. 667 containing SOC158 data as well as additional data specific to Los Angeles County. Once form Prob. 667 is completed, the Probation Department sends it to the Welfare Department for input onto CWS/CMS. The remaining 57 Probation Departments fill out the SOC158 and submit it to the State for data entry.

Draft Response Dated 11/01/00

As noted throughout this document, the State has adopted a variety of techniques and strategies to ensure that CWS/CMS is both fully utilized by county staff and accurately captures AFCARS data. These strategies and actions include the production of monthly, county-specific AFCARS reports to determine the level of local compliance and the quality of data entered into CWS/CMS. Equally important, the State and county partnership continues to make CWS/CMS more user friendly. This includes facilitating worker navigation through the application, and seeing that the application actually helps workers with case management tasks. For example, at the direction of CDSS, the vendor developed and implemented an AFCARS Navigation Tool that can take the user to all AFCARS required fields. This tool can be used in both case and referral. The worker simply indicates whether he or she wants to update Foster Care, Adoptions or "All" data fields. Once a selection is made, the user is taken to a screen known as the primary Navigational Tool Page. The primary Navigational Tool Page, shown below, contains the AFCARS data fields. The data fields that must be filled out are highlighted in green. The user is directed to click on the icon next to the data field to be updated. The user is then taken to the appropriate screen (page within a notebook) where the information is entered. Once the information is entered, the user is returned to the primary Navigational Tool page screen where the next or additional data fields can be selected for updating. The screens below demonstrate how the AFCARS Navigational Wizard can be used to fulfill the AFCARS data demands in any given case.

The State enacted legislation in July 2000 that addresses the State and Federal goal of full utilization. The CDSS has worked collaboratively with members from the County Welfare Directors Association and with labor groups representing social workers in reaching an agreement in the definition of full utilization and all functional areas within the system that are to be utilized. The first system changes to support full the utilization policy are included in the Release 4.1.2, which was originally scheduled for release in late September 2000. While the majority of counties use CWS/CMS for their new and existing cases, the new policy requires complete application usage on all new cases and for existing cases as they come up for their next review. All AFCARS related data will be completed as well.

**STEP 1. This example assumes the user is working in a case.**

**Client Services - [Case [Scotch, David]]**

File Edit Search Action Associated Attach Window Help Wizard

Toolbar: [Icons for file operations and navigation]

Tab Bar: ID | Svc Comp | Assignment | Trans Req | ICPC-100A | ICPC-100B | Doc Tracking | Spec Proj | Closure Summary

**Identification**

**Case Info**

Case Name:

Case Number:

Start Date:  End Date:  Projected End Date:

County:  State:

Country:

**Case Status**

	Status	Effective Date	End Date
1	Court Involvement	10/01/1998	
2	Court Involvement	09/11/1998	10/01/1998

**Status**

☒ Court Involvement ☐ Voluntary

Effective Date:

**Intervention**

	Reason
1	Physical Abuse
2	Sexual Abuse

**Case Alerts**

**Callout Box:**

The AFCARS Navigation Tool can be found in either the Wizard menu item or the Wizard icon located on the Client Services toolbar.

Do This: Click the "Wizard" drop down to continue.

## STEP 2.

**Client Services - [Case [Scotch, David]]**

File Edit Search Action Associated Attach Window Help Wizard

Start Wizard

ID Svc Comp Assignment Trans Req ICPC-100A ICPC-100B Loc Tracking Spec Proj Closure Summary

**Identification**

**Case Info**

Case Name: Scotch, David

Case Number: 0478-7147-3944-4000034

Start Date: 12/19/1996 End Date: / / Projected End Date: / /

County: Sacramento State: California

Country: United States

**Case Status**

	Status	Effective Date	End Date
1	Court Involvement	10/01/1998	10/01/1998
2	Court Involvement	09/11/1998	10/01/1998

**Status**

☒ Court Involvement ☐ Voluntary

Effective Date: 10/01/1998 End Date: / /

**Intervention**

	Reason
1	Physical Abuse
2	Sexual Abuse

**Case Alerts**

Do This: Select "Start Wizard" to continue.

## STEP 3.

**Client Services - [Case [Scotch, David]]**

File Edit Search Action Associated Attach Window Help Wizard

Wizard Menu - Client Services

**CWS/CMS Wizards**

The wizards will assist you in performing CWS/CMS tasks. Select a Wizard below and click OK.

**Select One of the Following:**

**Case Wizards**

☐ Case Plan - Initial ☐ Case Plan - Update ☐ End Case

**Placement Wizards**

☐ End Placement

**Navigation Tool**

☒ AFCARS

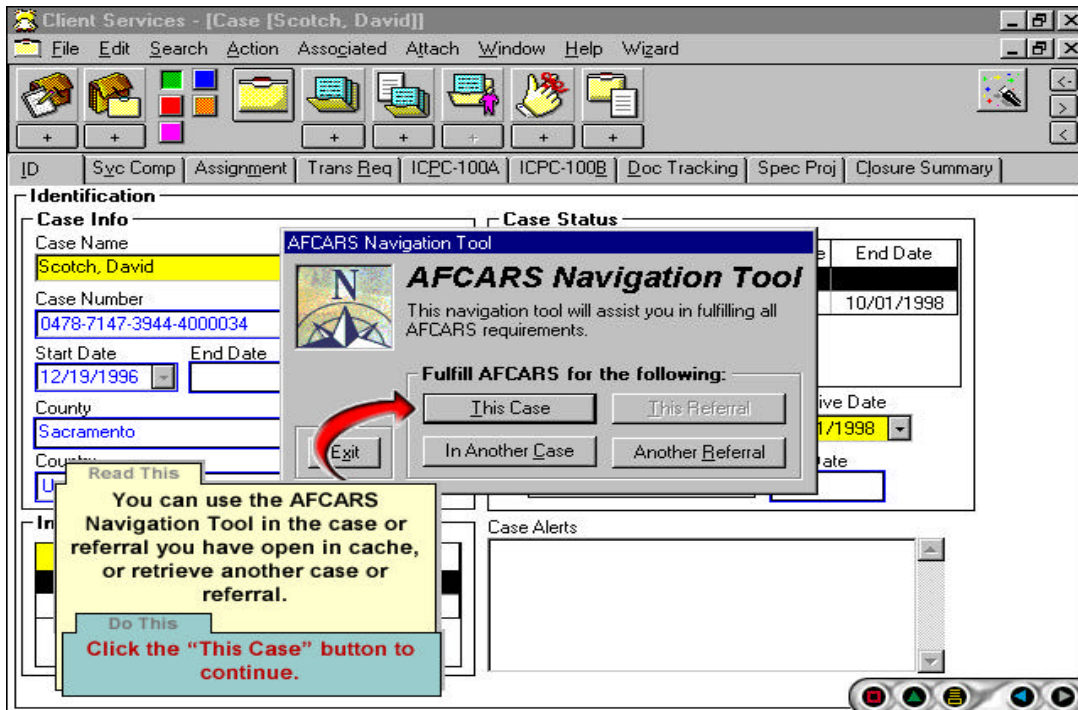
OK Cancel

Read This: ...while a Wizard walks you through a single process, like creating an initial Case Plan.

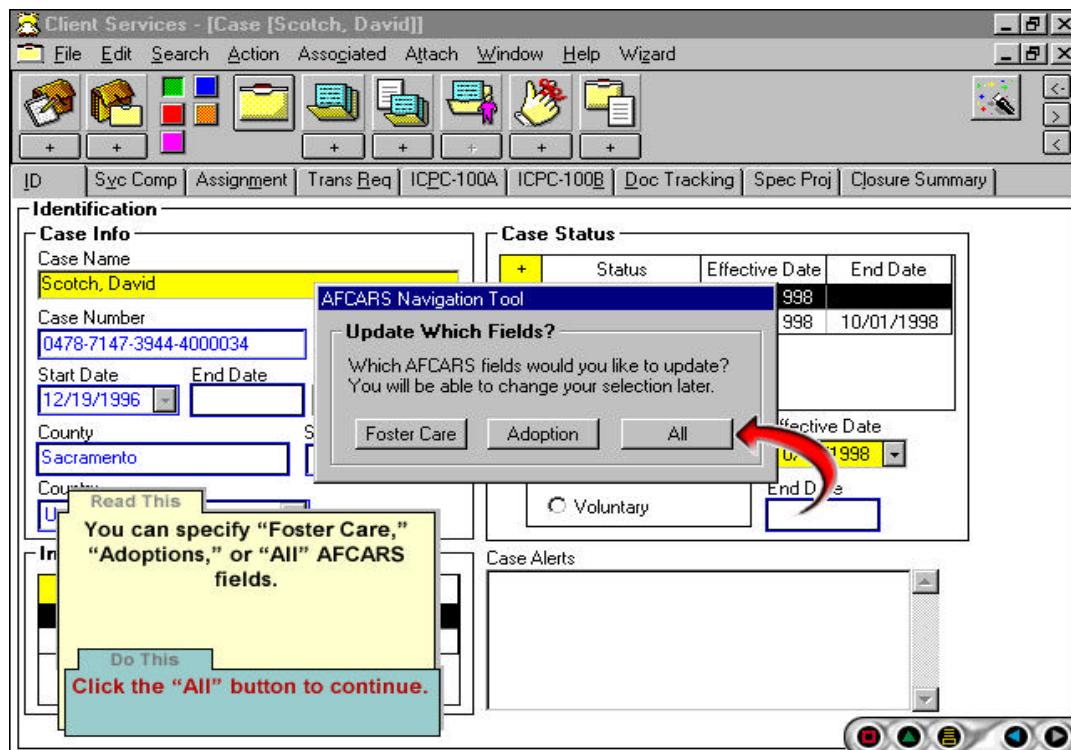
Do This: Click the "OK" button to continue.



## STEP 4.



## STEP 5.



## STEP 6.

**AFCARS Navigation Tool**

**AFCARS Fields**  
Reporting Dates: 3/1/99 - 9/30/99

Case Name: **Scotch, David**  
Case Number: **0478-7147-3944-4000034**

**General Child Client:**  
Gender: Male  
Birthdate: 11/16/1988  
Hispanic Origin: **Unknown**  
Previously Adopted: **Unknown**  
Age of Last Adoption:   
Diagnosed Disabilities: None

**Foster Parents:**  
Family Structure:   
1st Fstr Pmt Brthdte: 02/14/1960  
1st Fstr Pmt Ethncty: White  
1st Fstr Pmt Hisp Ori:   
2nd Fstr Pmt Brthdte:   
2nd Fstr Pmt Ethncty:   
2nd Fstr Pmt Hisp Ori:   
**Foster Care Placement:**  
Last Removal Date: 12/20/1996  
Start Date: 10/01/1998  
Legal Authority Type: WIC 300 a, b, c, d, f, g, i or j  
Prim Rsn for Rmvl: Sexual Abuse  
Sec Rsn for Rmvl: None  
Basic Rate: 100.00  
Plac Change Rsn:   
End Date:   
Home Type: Foster Family Home  
Placement State: CA  
Rate Aid Code: 42

**Birth Parents:**  
Mo Rights Term Date: 12/16/1997  
Fa Rights Term Date: 12/16/1997  
Mother's Birthdate: 04/14/1958  
Father's Birthdate: 12/25/1954  
Mo Mrrd at Chld Brth:   
**Adoptive Parents:**  
Mo Marital Status:   
Mo Birthdate:   
Mo Ethnicity:   
Mo Hispanic Origin:   
Fa Marital Status:   
Fa Birthdate:   
Fa Ethnicity:   
Fa Hispanic Origin:   
Relationship to Child:   
**Adoption Placement:**  
Finalization Date:   
Monthly Subsidy:   
Monthly Amount:   
Title IV-E Eligible:   
**AAP Eligibility:**  
Prim Rsn for AAP Elig:

**Read This**  
This is the primary Navigation Tool page. Green fields have not been fulfilled. In this example, we are going to enter "Hispanic Origin."

**Do This**  
Click the file folder for "General Child Client" to continue.

Navigation buttons: Foster Care, Adoption, All, Pause

## STEP 7.

**Client Services - [Case [Scotch, David]]**

File Edit Search Action Associated Attach Window Help Wizard

**Open Notebook**

Select Item to Open: Client Load

For this Case:

Local	ID	Name	Start Date	End Date
1	0478-7147-3944-4000034	Scotch, David	12/19/1996	

Open this Client:

	Name	Age(Yrs)	Gender
1	Scotch, David	10	Male
2	Scotch, Janice	41	Female
3	Scotch, Martin	44	Male
4	Read This	15	Female

**Read This**  
The Tool will open the appropriate notebooks, and guide you step-by-step using the standard Wizard conventions.

**Do This**  
Click on row 1 "Scotch, David" to continue.

**Open Notebook Dialog**

**Open Notebook**

- Click the current case/referral.
- Click the following notebook: **Scotch, David**
- Click OK.

Navigation buttons: Stop, Hide Steps, Back, Next



## STEP 8.

Client Services - [Case [Scotch, David]]

File Edit Search Action Associated Attach Window Help Wizard

Open Notebook

Select Item to Open  
Client Load

For this Case

	Local	ID	Name	Start Date	End Date
1	<input checked="" type="checkbox"/>	0478-7147-3944-4000034	Scotch, David	12/19/1996	

Open this Client

	Name	Age(Yrs)	Gender
1	Scotch, David	10	Male
2	Scotch, Janice	41	Female
3	Scotch, Martin	44	Male
4	Scotch, Mary	15	Female

OK Cancel New Remove Sort... Help

Do This  
Click the "OK" button to continue.

AFCARS Navigation Tool  
Open Notebook Dialog  
Open Notebook  
1. Click the current case/referral.  
2. Click the following notebook:  
**Scotch, David**  
3. Click OK.  
Stop Hide Steps Back Next

## STEP 9.

Client Services - Case [Scotch, David] - [Client (Case Focus Chapter 10)]

File Edit Search Action Associated Attach Window Help Wizard

Summary ID Demog. Address Names Related Clients ID Num

Name and Identification

Client Information

Prefix First Middle Last Suffix  
Gender Male Marital Status SSN 567-15-1561 Alien Re  
Driver's License - State/Number Date of Birth 11/16/1988 Age and Age Unit 10 Years  
Client Number 0861-9860-4456-8000034  
Outstanding Warrant Exists  
Language  
Primary Language English  
Secondary Language  
Literate  
Yes  
No  
Ethnicity  
Primary Ethnicity White  
Secondary Ethnicity  
Hispanic Origin  
Yes  
No

Read This  
The Navigation Tool will point to fields required by AFCARS. Some fields may already be completed. Let's indicate if the minor is of "Hispanic Origin."  
Do This  
Click the radio button for "No" in the "Hispanic Origin" area.

AFCARS Navigation Tool  
ID Page  
Update Client Information  
1. Click on Gender and enter the Client's sex.  
2. Click on Birthdate and enter the Client's birthday.  
3. Click on Ethnicity and select the Client's ethnicity.  
Stop Hide Steps Back Next

## STEP 10.

**Client Services - Case [Scotch, David] - [Client (Case Focus Ch...**

File Edit Search Action Associated Attach Window Help

Summary ID Demog. Address Names Related Clients ID Num

**Name and Identification**

**Client Information**

Prefix First Middle Last Suffix

Gender Male Marital Status SSN 567-15-1561 Alien Re

Driver's License - State/Number Date of Birth 11/16/1988 Age and Age Unit 10 Years

Client Number 0861-9860-4456-8000034

☐ Outstanding Warrant Exists

**Language**

Primary Language English

Secondary Language

Literate

☐ Yes ☐ No

**Ethnicity**

Primary Ethnicity White

Secondary Ethnicity

Hispanic Origin

☐ Yes ☒ No

**Update Client Information**

1. Click on **Gender** and enter the Client's sex.

2. Click on **Birthdate** and enter the Client's birthday.

3. Click on **Ethnicity** and select the Client's ethnicity.

Stop Hide Steps Back **Next**

**Read This**

We have satisfied the "Hispanic Origin" field in the Client notebook. "Next" will take us back to the Navigation screen.

**Do This**

Click the "Next" button to continue.

## STEP 11.

**AFCARS Navigation Tool**

**AFCARS Fields**

**Reporting Dates**

3/1/99 - 9/30/99

**Case Name**

Scotch, David

**Case Number**

0478-7147-3944-4000034

**General Child Client:**

Gender: Male

Birthdate: 11/16/1988

Hispanic Origin: No

Previously Adopted: Unknown

Age of Last Adoptn:

Diagnosd Disabilities: None

**Foster Parents:**

Family Structure:

1st Fstr Pmt Brthdte: 02/14/1960

1st Fstr Pmt Ethncty: White

1st Fstr Pmt Hsp Orr:

2nd Fstr Pmt Brthdte:

2nd Fstr Pmt Ethncty:

2nd Fstr Pmt Hsp Orr:

**Foster Care Placement:**

Last Removal Date: 12/20/1996

Start Date: 10/01/1998

Legal Authority Type: WIC 300 a, b, c, d, f, g, i or j

Prim Rsn for Rmvt: Sexual Abuse

Sec Rsn for Rmvt: None

Basic Rate: 100.00

Plac Change Rsn:

End Date:

Home Type: Foster Family Home

Placement State: CA

ate Aid Code: 42

**Birth Parents:**

Mo Rights Term Date: 12/16/1997

Fa Rights Term Date: 12/16/1997

Mother's Birthdate: 04/14/1958

Father's Birthdate: 12/25/1954

Mo Mrrd at Chld Brth:

**Adoptive Parents:**

Mo Marital Status:

Mo Birthdate:

Mo Ethnicity:

Mo Hispanic Origin:

Fa Marital Status:

Fa Birthdate:

Fa Ethnicity:

Fa Hispanic Origin:

Relationship to Child:

**Adoption Placement:**

Finalization Date:

Monthly Subsidy:

Monthly Amount:

Title IV-E Eligible:

**AAP Eligibility:**

Prim Rsn for AAP:

**Read This**

Notice the "Hispanic Origin" field has changed from green to white with our selection. To satisfy the other green fields, we could click on other file folder icons.

**Do This**

Click the "MENU" button to continue.

Adoption All Pause

The State has already engaged our federal partners in a more expansive discussion of "mandated use". More specifically, the State is concerned that simple efforts to "require" system use for casework purposes will prove ineffective without continued education and improved functionality that furthers social worker practice and the CWS program. Rather the State believes that full system utilization can best be achieved in the context of "carrots and sticks." The State is interested in engaging ACF in discussions of full utilization by using compliance with AFCARS and other federal reporting mandates as the primary measures for statewideness and system utilization.

The ACF contends the 2/1/00 response regarding the Juvenile Justice data sufficiently responds to this particular aspect of the requirement. Therefore, this aspect is resolved.

**1.b.(72) Produce other Federal Reports \*** — Describe how the system generates required Federal reports, e.g., IV-E 12 in either paper or electronic formats as required.

*State Response:*

**The Title IV E – 12 report is compiled from a number of different state data sources. The county expense costs, welfare assistance claims, and contract information all are gathered from different state agencies. Page seven of the report is currently not filed in. The data to populate this page could come from the CWS/CMS report "Out of Home Placements – Facility".**

**The CWS/CMS does not generate the Title IV-E 12 report. However, the CWS/CMS will support this requirement.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
				PM_PLACEME NT #9

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Findings</u></b></p> <p>The CWS/CMS system is not able to produce the information necessary to generate a complete and accurate Title IV-E 12 Report. The Title IV-E 12 report is being replaced by the Title IV-E 1 Report.</p> <p><b><u>Requirement</u></b></p> <p>The State must enhance CWS/CMS to collect and produce sufficient information to help produce the Title IV-E 12 Report.</p>						

State Draft Response Dated 2/1/00

The CWS/CMS was not designed with the fiscal functionality necessary to generate federal financial reporting requirements. Currently, the CDSS Administration Division's Fiscal Systems and Accounting Branch generates the federal IV-E 12 (and the replacement IV-E-1) report. This financial report is compiled from a number of different internal and external sources including, but not limited to; the CALSTARS Accounting system (the State's accounting system), county generated Administrative Expense Claims and county generated maintenance payment claims. The CDSS believes there has been a misunderstanding of the State's intent regarding the system's generation of required federal reports, and would be interested in discussing the matter further with ACF staff.

State Draft Response Dated 11/01/00

The IV-E 12 report is what CDSS uses to report IV-E allowable expenditures from the state and counties to ACF. CWS/CMS-SACWIS collects specific administrative case data for children who are in or at risk of out-of-home care (our Child Welfare Services Program). This data includes the child and family names/history, the status of the case, the initial assessment, case plan, list of services the child and family will be referred to, social work visitation records and any other administrative case management activity on the case. It is also used for foster care board and care payments.

Counties report the foster care board and care payments on an assistance claim. Counties sign a certification that the expenditures are true and correct. When the claims are received by CDSS, a preliminary desk audit is completed.

The actual "services" i.e. counseling, drug treatment, parenting classes, etc., are purchased by the counties and reported on the county expense claim. The counties sign a certification that the expenditures are true and correct when they send the county expense claim in to the CDSS. The CDSS does a preliminary desk audit of the claims. Fiscal Policy monitors the county claim expenditures by going out to the counties and auditing the claim down to the invoice level.

All IV-E allowable expenditures on both the assistance and administrative expense claims are then identified and the costs are put on the federal IV-E 12 report by the Accounting Bureau. The IV-E 12 reports are then sent to ACF on a quarterly basis. All of this claiming information is federally approved in our State's Cost Allocation Plan.

**2.(73) Produce State reports \*** — Describe the system's capability to generate regular and ad hoc management reports (e.g., workload status, client/case status, performance factors, outcome measures, etc.).

*State Response:*

**The CWS/CMS can generate a number of management reports.**

- **Through the CASELOAD application all workload status can be printed.**
- **Through the Client and Case reports the user can get extensive information about a client and case.**
- **Through the Program Management Reports performance factors are tracked.**
- **The "SOC 291 – Preplacement Preventive Service is specifically design to measure outcomes.**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE } Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
				SR_CASELOAD #1-5
				SR_CLIENT #1- 9
				SR_CASE #1-8
				All PM REPORTS
				PM_CASE #22

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**3.(74) Produce statistical reports \*** — Describe the system's capability to generate statistical reports needed to assist in the analysis of the program.

*State Response:*

**The purpose of the Program Management reports is to generate statistics. Each Program Report area, Case, Court, Foster Case Information System (FCIS), Intake, Licensing, and Placement, generates statistics for the State and Federal government.**

**All SACWIS requirements have been met.**

*Documentation References:*



{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
				All PM REPORTS

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

### C: Administrative Support

Goal: To provide the administrative support necessary to ensure the accuracy, adequacy and efficiency of the system.

**1.a.(75) Provide hardware and software security \*** — Describe how the State has secured the system hardware, telecommunications network, software applications and data to protect those resources from damage, destruction and loss, as well as fraud and abuse.

*State Response:*

See appendix A response, Attachment 4: TECHNICAL & PHYSICAL/PROCEDURAL ASPECTS OF CWS/CMS SECURITY.

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, attachment 4, "Technical & Physical/Procedural Aspects Of CWS/CMS Security"				

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	C	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	

**ACF Comments**

**Finding**

The Review team learned, through the CWS/CMS walkthrough and interviews with users that case narratives (a.k.a. dictations) and collateral contact logs are not “frozen.” Additionally, the Review Team learned that only the first and last persons creating or updating a case narrative are identified and tracked in CWS/CMS, except through the DB2 transaction logs. The State only maintains these logs for six months.

**Requirement**

The State must implement data security standards and practices that ensure the integrity of CWS/CMS data and transactions, and allow the State to monitor and audit all database transactions. Due to the sensitive nature of some of the system’s data, as well as the potential use of CWS/CMS data in administrative hearings and court proceedings, the State must ensure both data and system integrity.

The State is asked to provide additional information describing how system security and change tracking are accomplished in CWS/CMS. The State should consider efficient, effective and economical data and system solutions in resolving these issues.

**Finding**

The System allows concurrent access to data. However, the system does not lock records that are being updated. When any user updates the client’s record the work of any other concurrent user is lost.

**Requirements**

The State must modify the system to prevent this type of data contention problems. We recommend that the data and record locking features of the DBMS be correctly used to prevent data loss from concurrent updating. We encourage the State to evaluate any other effective economical alternatives.

**Finding**

It was learned that CWS/CMS users share passwords with each other.

**Requirements**

The State should communicate and enforce an appropriate policy on safeguarding passwords. The State should also update its response to indicate what steps it will take to minimize this practice.

**Additional Information Requested**

The State should enhance its SARG response to describe how hardware and software are protected from damage resulting from power failures, flood, hurricanes, and other disasters.

State Draft Response # 1 Dated 2/1/00

System security is handled in CWS/CMS according to policies and protocols that are considered to meet industry standards. The current system vendor, IBM, has been a leader in the development of these protocols and policies. The first and most important way to assure data security and integrity is to carefully define and limit what each user of CWS/CMS can access. The second method is to use the technology available to prevent access to the system. The third method is to use database security features to ensure database integrity.

User access is controlled through authentication and authority tables. Each user of the system has a unique user id and password. This is controlled through RACF which is referenced with each logon. A complete description of RACF will be provided upon request of ACF; however, since it is the industry standard, we will not provide the additional documentation unless required. The RACF includes reporting of successful and unsuccessful attempts to logon. After six unsuccessful passwords have been entered, the user is denied access to any components of CWS/CMS until there has been intervention by a security administrator. The state is required to receive reports of unsuccessful logon attempts and may work with Boulder if there is an unusual pattern of activity by a particular user or group of users. Boulder staff sign agreements to comply with IBM customer security requirements. Staff must change their password every 180 days, and must follow security guidelines to protect customer data safety and assure that there is no inappropriate access to and/or use of the information in CWS/CMS.

Authority and privilege tables further limit user access. At the time a staff person is added to the application, each person is defined by the county, office, and server domain to which he or she is assigned. A user authority profile is created. The user authority profile allows a range of authorities and privileges depending upon job responsibilities in the county or state. Each unique user who carries a caseload has access to only those cases and referrals to which he is assigned through the application. The application does not allow state authority to a user who is not documented as a state staff person. The application does not allow county authority to any user who is not documented as a staff person in a particular county. Thus the application records and controls very narrow limits for access to resources. The application allows only one person to be a supervisor of a particular unit of workers, although that person may act as a backup to another unit within the same county. There are similar restrictions in all areas of the application. For example, there are separate authority profiles for users who are adoption workers, those who need to access reports, and those who can view sensitive cases among others. A complete list of the authority and privilege tables may be provided upon request. Thus any user of the application has access to a limited set of data. If staff responsibilities change, there is a historical record maintained of the previous roles and authorities. The state provides reports to the counties (through the program management reporting facility) of every user logged on during a month and the amount of database resource used by each user. Counties may review these reports for a wide variety of security-related concerns: they may ensure that no user who has had a county assignment changed is accessing the system using a valid password which has not been ended by the county; the county may check to determine that users are accessing the system on a regular basis; and the county may validate overtime claims by showing access on dates which are not regularly scheduled work days, among other examples. The purpose of these protocols is to control and document access to the application and database.

The second important method for ensuring data security is to prevent any unauthorized user from entering the system and viewing any data, adding incorrect data or destroying data in the database. CWS/CMS data can only be downloaded to a workstation in response to a logon by an authenticated user. Data does not reside on a workstation when the user has logged off. No documents are stored at the workstation or server level which might allow access via unattended workstations or servers. Data is encrypted and compressed when downloaded to the work station. Documents, which are stored at the host, are compressed for transport across the Wide Area Network. All CWS/CMS networks are secured from the Internet and counties have firewalls which prevent entrance to the CWS/CMS Local Area Network. All remote access users pass through a firewall security in order to be able to access the CWS/CMS application. All remote connections go through several layers of authentication and are monitored.

In addition to the protocols which prevent access, AntiVirus is used to prevent data corruption and loss of data. Norton AntiVirus is the current application used by CWS/CMS. The application is updated weekly (on Monday night) or as often as needed to every user of CWS/CMS. This is done by arrangement between Symantec Corporation and IBM. IBM Network Services tests and distributes the Norton AntiVirus product.



The database security features include host verification of user data based on complex host data validation rules. This security is maintained by a complex system of change verification and referential integrity checks. CWS/CMS has undergone several major database changes since the first implementation of release 1 in 1996. Within each subsequent release, the database has been modified and enhanced. The database management system, DB2, allows the historical preservation of each row in the database. If social service program changes require additional values be added to records, those additional values are carefully time-defined and limited so that the new data values can only be added to a defined set of records. For example, the new requirement is to allow more than one ethnicity to be recorded for each client in order to comply with a mandate by the federal government. The date of this change is defined in the CWS/CMS database. Historical records cannot be updated before the date of the change. When legal terminology changed one type of referral disposition from "unsubstantiated" to "not proven", historical records could not be altered to add a value not permitted until the date of the change. There are hundreds of similar examples. Not only is each iteration of the database available to the state, but reports can be prepared showing each change to every table throughout the development of CWS/CMS.

In addition to individual and referential integrity in database tables, changes to the data stored in the database are maintained for use by the vendor to perform data cleanup when needed. The DB2 logs are available to the state for a period of six months as part of the contract. From time to time, the vendor has provided transcriptions of the logs to the county or state requesting recorded changes to the database. The state does not maintain these logs; and has never requested access to the logs, which are maintained by the vendor in the secured facility in Boulder. The vendor has the ability to maintain these logs for the life of the database, although they are not stored in a media that is readily accessible. With technical assistance from ACF, the state is willing to negotiate a change in database log retention. Currently the vendor is maintaining the logs for eighteen months.

#### State Response #1 Dated 11/01/00

It is not considered practical nor economical and efficient to store records of field updates within the application itself as the additional data within the application would greatly impact performance. The state is also willing to work on an alternative process which has been proven feasible in other states.

- It is important to distinguish between an on-line audit trail and a database audit trail. The CWS/CMS has a limited on-line audit trail due to the performance implications of recording every change to every field in the application over time and returning it to a user of the application at logon. The online audit trail is field-specific and for each field in the application, the date that data was first entered into the field and the date that the last update was made to the field is stored on-line.

A complete audit trail of every change to a particular field is stored at the database in the transaction logs. A "before" and "after" record is kept every time that a transaction is saved at the host. When administrators report, for example, that they believe a user has changed data, it is possible to reconstruct the transaction logs for the appropriate row in the database so that the "before" record can be captured. The transaction logs record the date to the second that any data is changed.

#### State Draft Response #2 Dated 2/1/00

The statement in the review report is not accurate. When any user updates the client's records, the work of other concurrent users may rarely be affected. The state chose an open access mode for CWS/CMS called optimistic concurrency which allows concurrent users to access the data. Access to the data in CWS/CMS is primarily for review of data rather than update of data. This is because a large amount of data is returned to the user who requests a case or referral and with each access only a small number of fields are updated. An exception to this process is the "create referral" process, during which many field are created and updated; however, only one user is creating a referral at any one time. Many users may access the same data and return it to the database. No contention problems result from users simultaneously accessing the data. The other option, termed pessimistic concurrency would lock the data when it was accessed. The DBMS cannot predict which rows will be updated at the time of access. When this mode of operation was suggested, it was rejected by county managers. There is no plan to modify the system to pessimistic concurrency.

The state has done the following to prevent optimistic concurrency problems: first, extensive analysis has been done to evaluate the frequency of optimistic concurrency errors. Due to the size and complexity of the database, the errors are extremely rare. Each month, reports are sent to the counties which detail optimistic concurrency errors. The business practices which result in optimistic concurrency errors have been reviewed and counties have been advised on business practices which lessen the chance that optimistic concurrency errors will occur. There has been an extensive education practice. The following is an example of the information that has been distributed:

#### Why do OC Errors Happen?

It's not as simple as two people opening and updating the same case or referral.

An optimistic concurrency error is one type of Host 0002 error. Database rows contain a Last Update Timestamp field. The Host sets this value when a row is successfully inserted or updated. When the Workstation sends the Host a row to update or delete, the Host compares the value of this field from the Workstation with the value in the database. If they're the same, it means no one else has changed the row since the user opened it, and the update/delete is applied. If the values are different, it means that someone else (the person associated with the Last Update User ID has changed the row since this user opened it. When this happens, the optimistic concurrency error is returned.

There are several things that can cause an optimistic concurrency collision on the same row in the database:

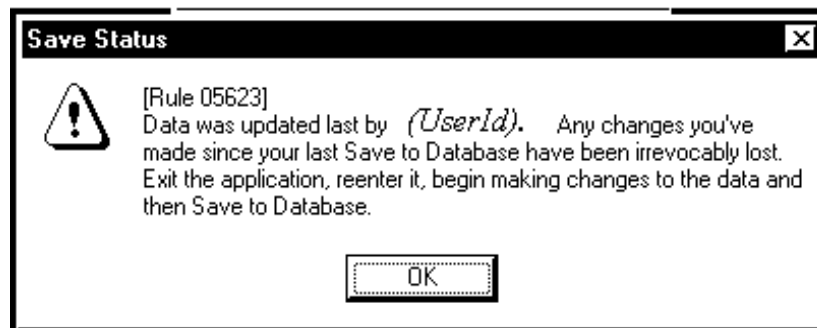
1. The **two users** may actually both be in the **same Case or Referral** doing work that updates the same row.
2. The **two users may be in different Cases/Referrals** doing work that updates a Client-type of row that is shared by both Cases/Referrals, e.g. Address.
3. **Tickles:** Primary and secondary workers see the same tickles and they both react.
4. Sometimes, the **Host updates a row based upon the work that was done by the user**. Such an update can be made to a row that was not even opened by the user. So, Host business rules can be the culprit when a user insists that no one else was in their Referral and therefore there should not have been any optimistic concurrency failure. Examples of these are:
  - a) **Transfer Assignment:** One user may be in a Case or Referral, doing work that updates the Case or Referral row and another user may be making a new primary assignment for that Case or Referral. The Case and Referral row contain an attribute that carries the UserID of the primary Staff Person. When the primary

- assignment changes, the Host updates the Case or Referral row. This does NOT require the user making the new primary assignment to have opened the Case or Referral.
- b) **Reassign Caseload:** Similar to Transfer Assignment, this action causes the Host to update the Case and Referral rows having active primary assignments in the Caseload, so that they contain the Staff Person ID of the new worker. This does NOT require the user reassigning the Caseload to have opened any of the Cases or Referrals. These Host updates can collide with updates to the Case or Referral rows made by someone else.
  - c) **Limit Access:** When a Case or Referral is updated with this action, all the associated Client rows have the potential of being updated by the Host (to carry the highest limited access code of all of their Cases and Referrals). These updates can collide with updated to the Client rows by someone else for other reasons.
  - d) **Screener changes:** Various actions (such as creating a secondary assignment with a role type of Screener) can change the Screener associated with a Referral. This association is maintained with a Host business rule, causing the Referral row to be updated. The Referral row did not necessarily have to be opened by the user making the secondary assignment.

The problem doesn't happen often. But when it does, it's very unpleasant because users lose work.

#### ATTENTION ALL CWS/CMS USERS

##### HAVE YOU EVER SEEN THIS MESSAGE?



#### WHAT IS IT?

This message is called the "**Optimistic Concurrency**" or "**OC**" error message. It tells you that between the time you retrieved some information from the database, updated it, and tried to save it, someone else opened up, changed, and saved that same information before you did. Now your copy of the data is old. You cannot save because you would overwrite the other user's changes.

"**Optimistic Concurrency**" is a way of maintaining data integrity. It keeps users from overwriting each other's records and is based on the probability that when users are in the system, they are changing different things. Most of the time that's true (even if they are in the same case or referral because they are changing different rows in the database). The problem doesn't happen often, but when it does, it's very unpleasant. You lose work (except maybe for documents, see Page 2). The CWS/CMS Project and the counties have been working to reduce these errors either by changing code or procedures.

### WHAT SHOULD YOU DO WHEN YOU GET THIS MESSAGE?

1. **Believe it!!**  
Don't keep working. You'll waste more time. The message will keep coming up every time you try to save to database. It won't go away, even if you save locally and restart your computer.
2. **Call the ATM. (All is not necessarily lost.)**  
If you were working on a WORD DOCUMENT (e.g. Screener narrative, or Case Plan Document or Court Report, etc.), CALL the ATM IMMEDIATELY! DO NOT EXIT THE APPLICATION. A CAT/ATM can help you save the document and reinsert it into CWS/CMS. (see page 2)
3. **Jot down a note about what you were doing in CWS/CMS when the error occurred.**  
Give the information to the ATM. They're helping to analyze and prevent the errors.
4. **Exit the CWS/CMS Application, re-start it, and re-trace your steps.**  
Unfortunately, information entered into the fields in the CWS/CMS notebook pages cannot be recovered and you will have to re-enter it. DO NOT OPEN ANY OTHER CASES OR REFERRALS UNTIL AFTER YOU'VE EXITED CWS/CMS AND RESTARTED. When exiting, say NO to the question, "DO YOU WANT TO SAVE YOUR CHANGES TO THE DATABASE?" Do NOT SAVE LOCALLY. If you have already saved locally before the error happened, say NO to the question, "Do you want to restore a saved local file" upon re-starting the application.

### HOW CAN YOU PREVENT THIS PROBLEM?

SAVE EARLY - SAVE OFTEN!!! Don't leave work open and unattended in CWS/CMS for any length of time and then go back to it and continue working. Save before you leave. Don't open & keep open multiple referrals/cases. This increases your chances of experiencing an oc collision.

### HOW TO RECOVER DOCUMENTS FOR CWS/CMS USERS WHO GET THE OC ERROR.

All is not necessarily lost when users get the OC message. If they had been working on documents, you can help recover them. Here's one such method:

1. Say OK to the OC Message - DO NOT EXIT CWS / CMS AS OF YET!!!
2. Open the case you were working on by going up to the file menu or clicking the "Open Case Icon".
3. Open the document you were working on (i.e. court report or case plan)
4. Select "SELECT ALL" from the Edit menu.
5. Select "COPY" from the Edit menu.
6. Select "NEW" from the file menu & say OK to the default normal template message.
7. Select "PASTE" from the file menu.
8. Select "SAVE" from the file menu & give the document an easily recognizable name. This will safely store the document on the C Drive.
9. Exit CWS Completely!!!! (Without a further attempt to "SAVE TO DATABASE". As we all know, it won't work)
10. Reopen CWS/CMS and the case you were working on.
11. Recreate all the "point and click" information that was lost.
12. Recreate the same document that was lost (i.e. court report or case plan).
13. Select "SELECT ALL" from the Edit menu.

14. Press "Delete" on the keyboard.
15. Select "Open" from the file menu
16. Open the document that you just stored to the C Drive in step 8.
17. Select "SELECT ALL" from the Edit menu.
18. Select "COPY" from the Edit menu
19. Select the CWS Document from the "WINDOW" menu. (which is now blank)
20. Select "PASTE" from the "EDIT " menu.

This now inserts the previously created document back into CWS/CMS. I always recommend at this time to select "SAVE" in the File menu, "CLOSE" in the File Menu (2 times because the CWS Document and the one saved on the C Drive are both open), and return to CWS/CMS and "SAVE TO DATABASE" immediately. The CSW feels better knowing that the document is now safely tucked away in CWS and they will not lose the original again. They can return to the document and edit it appropriately.

Optimistic concurrency was chosen because it supports the provision of social services in the state of California. When any user loses work, it is a serious problem for that user. In a large automated system, data will be lost at times. Data is rarely lost from optimistic concurrency errors. Local workstation power problems and network problems are much more frequent causes for loss of data.

#### State Draft Response #2 Dated 11/01/00

- Documents are not frozen in time. A document in need of revision may be deleted and a new version may be corrected. Alternately, a new version of a document may be separately created and clearly identified as an update. Users may correct the data in the application so that an inadvertent mistake, such as entering information in the wrong case record, can be corrected. This is consistent with California Department of Social Services requirements for case record keeping.
- Optimistic concurrency is a problem in less than one half of one per cent of transactions. However, due to the customer satisfaction issues involved whenever data loss occurs, a task force is investigating possible alternative methods of reducing the instances of optimistic concurrency. One involves the possibility of smaller and more frequent saves to the database and an investigation of using a warning to the user who has retrieved data already retrieved by another user.

A schedule has been developed with the concurrence of the vendor and the California Department of Social Services. During the fourth quarter of State Fiscal Year (SFY) 1999-2000, alternative strategies will be analyzed and a recommendation will be developed. In the next fiscal year, prototypes will be developed and tested to see how the changes impact system performance. A final solution will be chosen from among the prototypes. Implementation of a solution is anticipated in the fourth quarter of SFY 2000-01.

#### State Draft Response #3 Dated 2/1/00

State policy opposes the sharing of passwords for all automation systems. At the time of installation of CWS/CMS equipment, directives were given to the counties concerning the problems that can arise when passwords are shared. These directives emphasized the loss of data integrity that occurs when data entry is not done by the person whose password is used. So far as is known to the state, there is no county which has a policy of using shared

passwords. If the federal reviewers found a situation in which staff are in violation of state and county policy, that particular situation should be dealt with as a separate matter. Passwords are controlled locally by the counties and there is no means by which the state can be assured that the sharing of passwords never occurs. There is certainly no incentive for the sharing of passwords and it can, in fact, impact workload studies and justifications for staffing in the budget process.

There have been instances in which passwords were shared. During the period of conversion, data conversion activities were being performed with the assistance of county staff who did not perform social worker staff activities. The temporary practice of sharing passwords facilitated manual conversion. However, the state wishes to strongly emphasize that the sharing of passwords in a system as sensitive as CWS/CMS is a problem. The information recorded in CWS/CMS is subject to judicial scrutiny at regular intervals. The information is used to create management reports at the county, state and federal level. State and county administrators know that sharing of passwords could compromise information. The State requests this issue be closed.

State Response #3 Dated 11/01/00

A system change was made in June 2000 that eliminates the need for multiple intra county passwords. This change will eliminate the practice of intra county password sharing. The State requests this issue be closed.

**1.b.(76) Provide hardware and software security \*** — Describe how the system satisfies the confidentiality requirements granted under section 781(a)(8) of the Social Security Act and (if child abuse and neglect information is captured in the system) section 106(b)(2)(A)(v) of the Child Abuse Prevention and Treatment Act.

*State Response:*

**All CWS/CMS Logons are given certain authority and privileges.**

**The CWS/CMS Authorities are:**

- **County Administration**
- **Office Administration**
- **State Administration**
- **User**
- **Global Administration**

**The CWS/CMS Privileges are:**

- **Access Authority**
- **Interface Authority**
- **Limited Access Authority**
- **Override Authority**
- **Assignment Match**
- **Bulletin Administrator**
- **Closed Case/Referral Update**
- **Code Table Maintenance**
- **CWS Case Management System**
- **Fingerprint Management Reports**

- Fingerprint Services
- Staff Program Management Reports
- Resource Management
- Resource Mgmt Placement Facility Maint
- System Administration
- CDS Client Index
- MEDS
- Adoptions
- Probation
- Sealed
- Sensitive Persons
- Countywide Read
- Countywide Read/Write
- State Read Assignment
- Statewide Read
- LIS
- Authority
- SAS
- County License Case Management
- Officewide Read
- Officewide Read/Write
- SOC158 Application
- Non-CWD

All SACWIS requirements have been met.

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**1.c.(77) Provide hardware and software security \*** — Are contingency plans and disaster recovery plans available in case of an emergency and are they tested?

*State Response:*



**There are no separate Disaster Plans for CWS--that is any plans separate from the county plans for Disaster Recovery. Disaster Planning is a service offering of the vendor (IBMGS) which was not added to our contract. We have a basic recovery plan but no overall disaster plan. Fore example, we could provide counties with recent backup tapes, but have no way to provide for alternate site processing etc.**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>There is no CWS/CMS contingency plan or disaster recovery plan. The current CWS/CMS maintenance and operations (M&amp;O) request for proposal requires the winning bidder to create a plan, and provide disaster recovery services.</p> <p><b><u>Requirement</u></b></p> <p>Although the M&amp;O RFP requires compliant plans and services, until the M&amp;O RFP vendor is selected, the State must develop an interim plan for use until the transition process for the M&amp;O vendor is complete.</p>						

State Draft Response Dated 2/1/00

Based on the contingency planning for anticipated Year 2000-related problems, which was completed following the submission of the SACWIS report by the state, Operational Recovery Planning is being addressed. The State has begun planning for this activity conjointly with HHSDC and IBM. The plan includes a process for reviewing the current level of protection for the operations components controlled by the current vendor, IBM Global Services, components controlled by the State of California, primarily HHSDC, and those components controlled by the counties. An Operational Assessment is scheduled to begin with the completion of Year 2000-related activities. An Impact Analysis is scheduled to follow. Operational Recovery Plan development activities which includes participation by CDSS, HHSDC, IBM Global Services and the counties are expected to continue until a plan has been developed. The state invites federal participation and review of the work products of this effort.

State Draft Response Date 11/01/00



The ACF contends that the 2/1/00 response sufficiently responds to this requirement. Therefore, this issue is resolved.

**2.(78) Archive and purge \*** — Describe how the system provides for purging and archiving of inactive records and closed cases.

Additionally, the State should respond to the following questions:

- How long is information maintained in the system?
- How is information archived?
- Can the information be "sealed" and "unsealed?"
- Does the system track who enters and changes information?
- Has the State used and/or tested the process?

*State Response:*

**Length of information:**

**The information is maintained on the system indefinitely.**

**Archiving Procedures:**

**Once the initial archive has been implemented, the archive job will run monthly. All cases and referrals, along with all associated entities such as clients, court and placement, meeting archive conditions will be combined into a single record or binary large object (BLOB).**

**Sealed/Unsealed Information:**

**It is possible to seal and unseal records (prior to archiving). There is a special authority in the application that allows sealing. The name of the person associated with a sealed record is not returned in a search query. The record once sealed is not destroyed or made inaccessible; it can be retrieved by a user with appropriate authority. Sealed cases are marked so that they cannot be returned through a database query.**

**Audits:**

**We are able to use DB2 logs to track changes for six months prior to today. In response to county requests, we have been able to use the DB2 logs to determine if any rows were changed or added. We capture the user id of the person who made the change(s) in the logs. This is an extremely time consuming process of restoration.**

**There is no audit trail in the application that tracks every change to a field.**

**Testing:**

**Initial testing of archive was done in Release 2, with follow-up testing in Release 3. However, the archive process relies on having a stable database definition to combine and later restore data according to the same definition. Complete testing was deferred until completion of the CWS/CMS application and when the database is more stable and the data quality is satisfactory**

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE} }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier

{PRIVATE} }ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**3.(79) Provide office automation** — Does the system provide office automation tools (e.g., word processing, ticklers, Reminders, calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions? Please list their use and capabilities in the SACWIS system.

*State Response:*

**The office automation tools provided to each CWS/CMS terminal are:**

- MS Word 6 (soon to be updated to Word 97) – word processing
- MS Excel 97 spreadsheet
- Power Point 97 presentation
- MS mail (soon to be updated to Outlook 98) email
- Schedule Plus (soon to be updated to Outlook 98) scheduling
- MS Explorer web browser

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, attachment 3, "Software Products				

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**4.(80) Provide on-line system documentation** — Does the system provide an on-line policy/procedures manual, user guides, and other system documentation as needed, such as field help screens? Please describe.

*State Response:*

The CWS/CMS application has on-line help. This on-line help is structured in the win.help fashion with a "Content" and "Search for Help on" and has Index and Glossary functions. This on-line help was submitted as part of Appendix A.

Each software release is issued with release notes. An example was given in Appendix A response: CD#1 "Release Notes (Changes).

Counties are responsible for developing their own user manuals. Two examples were submitted as part of Appendix A, attachment #8, "County of Orange CWS/CMS Handbook" and Disk #1-2, "Placer County CWS/CMS User Manual".

CWS/CMS has created a new web site "www.hwcws.cahwnet.gov" which links the users with all the Department of Social Services policies and procedures on the net.

**All SACWIS requirements have been met.**

*Documentation References:*

{PRIVATE }State Selected Option	YES:	<u>X</u>	NO:	
{PRIVATE }State Selected Option	YES:		NO:	
Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, attachment CD #1, "On-line Help"				
Appendix A, attachment CD #1, "Release Notes (Changes)"				
CD #3 CWS/CMS Scenario Manager				

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	Y	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						

**5.(81) Provide on-line training** — Does the system provide on-line, computer-based training for system users? Please describe.

*State Response:*

The CWS/CMS has a computer-based training that is used as a stand-alone training tool. This software is used to introduce the new user to the application. This was submitted as part of Appendix A.

Scenario Manager is a software package that simulates the CWS/CMS environment. It is used in a classroom setting for a more in-depth understanding of the CWS/CMS application.

Soon to be released are the CWS/CMS "wizards". Here is a write up of their utility:

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*Have you ever needed to do something in CWS/CMS, and you know that at one time you knew how to do it (or you saw someone else do it), but now you don't recall how to get started? There may be an answer for you someday with the addition of a new set of features called Wizards. Just what is a Wizard? Wizards are tools within CWS/CMS that provide users directed help to perform specific tasks. Wizards will help users as they navigate the CWS/CMS to perform these tasks, walking users to the next screen or directing them to the next function. The Wizards interact with the CWS/CMS and provides the user with real time, on line instructions and directions about how to complete specific tasks.*

*All a user will have to do is launch the specific Wizard they want and follow the step by step directions. Each of the Wizards will walk the user through the steps, providing direction on which fields to fill in and which buttons to select. If the user wants to quit using the Wizard and wants to proceed without the help, they can do so and all of the data that they have entered so far is still retained. Also, Wizards will be optional; if a user feels comfortable creating an initial case plan and needs no assistance, he or she can do so without using the Wizard. To ensure that Wizards accurately reflect the way that counties do each of these tasks, a subgroup of Work Group IV has been tasked to work with Project Staff to assist with the design and directions of each Wizard.*

*Several Wizards are under development. Currently the first four Wizards that are under consideration are:*

- *Create an Initial Case Plan*
- *Update an Existing Case Plan*
- *End a Case*
- *End a Placement*

*Other Wizards which may be included in future releases are:*

- *Searching and Attaching*
- *Merging Attorneys*

**All SACWIS requirements have been met.**

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>	<u>X</u>	<b>NO:</b>	
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
<b>Appendix A, CD #2, "Computer Based Training for CWS/CMS"</b>				
<b>Appendix A, CD #3, CWS/CMS Scenario Manager</b>				

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**{PRIVATE }B. VIII: Interfaces**

This function creates an electronic link between the child welfare and other systems, to receive, transmit, and verify case and client information.

Goal: To provide for the effective and efficient transfer of information between SACWIS and other automated systems.

**CWS/CMS is waiting until these systems are stable. At that time, interface requirements will be defined and the CWS/CMS will require modifications.**

**A: Required Interfaces**

Goal: To support the effective and efficient administration of the processes necessary to transfer information between SACWIS and other automated systems.

**1.(82) Does the automated system provide for an electronic data interface with the following systems\*:**

- **Title IV-A (TANF)**
- **Title IV-D (Child Support Enforcement)**
- **Title XIX (Medicaid)**
- **Child abuse and neglect data system<sup>1</sup>**

**a.(83) Title IV-A (TANF):** Describe how the interface with the title IV-A system is used to:

- Capture and exchange relevant information;
- Identify potential resources for the IV-E child; and
- Avoid duplicate payments under the title IV-E and title IV-A programs.

*State Response:*

**CWS/CMS does not interlace with the title IV-A system.**

**LA County does have the Automated Provider Payment System for Foster Care providers (APPS) (see attachment “APPS Design” to this email). This system is updated on a daily basis with a batch file from CWS/CMS**

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<sup>1</sup> Complete if child abuse and neglect system is interfaced (rather than incorporated).

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, Attachment 1, "CWS/CMS External Interfaces"				

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
ACF Comments						
<p><b><u>Finding</u></b></p> <p>CWS/CMS does not have an interface for the automated exchange of data with any of the Title IV-A systems operating in California.</p> <p><b><u>Requirement</u></b></p> <p>The State must develop functionality that supports automated exchange of data between CWS/CMS and all of the Title IV-A systems operating in California. The functionality must support a standardized data exchange method and file format between CWS/CMS and all of the Title IV-A systems.</p>						

State Draft Response Dated 2/1/00

Title IV-A

The State is planning to use CalSERV, a standard communication system, to exchange data between CWS/CMS and the Title IV-A Systems. The CalSERV Project is the long-term solution for data exchange between the four Title IV-A consortia and other welfare related systems. The CalSERV will employ middleware to allow electronic data exchange among the four consortia systems and CWS/CMS. As noted earlier, CalSERV is currently in the planning phase with an IAPD scheduled for federal review in February of 2000. IAPD will provide more information on CalSERV and its relation to CWS/CMS and IV-A systems.

Equally important, federal regulation and Action Transmittal # ACF-OSS-05 provide that the "interface requirement doesn't have to be met if the responding system is not capable of an exchange or where cost constraints make such an interface unfeasible."



Draft Response Dated 11/01/00

#### Title IV-A

SACWIS requirements address the need to exchange information between a SACWIS and State systems used to support programs administered under Titles XIX (Medi-Cal), IV-A (TANF), and IV-D (Child Support Enforcement).

California's comprehensive eligibility programs, including IV-A, are administered through four county consortia:

- The 17 counties that use the Welfare Case Data System (scheduled to be replaced in 2003 by CalWIN, which will include the 17 counties plus Ventura County)
- The 35 counties that use the Interim Statewide Automated Welfare System (ISAWS)
- The four Consortium IV (C-4) counties (scheduled for implementation in 2003)
- Los Angeles County

Title XIX is known as Medi-Cal in California. Counties administer Title XIX as part of a comprehensive eligibility determination process. Eligibility is determined by using a separate module of the county TANF system, which sends an index of eligible clients to a shared database (MEDS). No separate interface is needed for Title XIX systems.

California is in the process of developing the CalSERV interface middleware to support exchange of information among SAWS and related systems to replace the multiplicity of interfaces that now exist. In the interim, an interface to IV-A (TANF) is planned for implementation in 2003. The first CalSERV TANF interface is planned for 2004. Subsequently, other major statewide systems will be added to CalSERV. The existing interface between CWS/CMS and Los Angeles County's foster care system, Automated Provider Payment System (APPS), will continue until the CalSERV interface with LEADER is implemented, most likely in 2005. CWS/CMS interfaces to the CalSERV middleware are also expected in 2005.

The statewide Child Support Enforcement system (Title IV-D) has not yet been implemented. Child Support Enforcement system interfaces would most likely be implemented in 2005 through CalSERV.

Developing interfaces between CWS/CMS and the other State information systems will provide an economical and efficient method of exchanging information between these systems. This will allow the State to coordinate services to children and families with other federal, State, and local welfare programs, reduce duplication of data, and avoid unneeded paperwork. The ability to exchange information will benefit social workers, eligibility technicians, and others responsible for providing services, determining eligibility, and performing financial management. CDSS's goal is to address the need for interfaces in a timely and cost efficient manner, taking into account the status of other initiatives related to each of the aforementioned programs and the long-term plans for the SAWS CalSERV middleware as a single point of interface. Where possible and cost-effective, interfaces will be built prior to the CalSERV deployment in order to provide the interface benefits as soon as possible.

California's vision for interfaces is a phased approach. The long-term plan is to interface CWS/CMS to the SAWS CalSERV middleware. Until this is accomplished, interfaces will be implemented directly to the consortia systems, according to their schedules.

CWS/CMS users have the capability to access the Title XIX Medi-Cal system (MEDS) via terminal emulation. Because Title XIX is locally administered and eligibility is documented in the TANF systems, there are no plans to alter this process. In the near-term, development would be undertaken to add automated CWS/CMS interfaces with IV-A (ISAWS, CalWIN, and C-4) according to each consortium's respective project schedules. CWS/CMS was designed with the capability to interface with a statewide child support enforcement system (IV-D). However, this capability can not be activated until California's statewide child support system is operational. At the present time, the counties utilize 16 interim systems with different record layouts operating on different platforms. Developing 16 different temporary interfaces would not be practicable, efficient, or economical. Developing an interface to IV-D systems will be delayed until the final phase of interface development.

The final phase of interface development will use CalSERV. The CalSERV middleware project will allow the four welfare consortia systems and other related systems, like CWS/CMS, to electronically exchange data and enable data sharing between the systems. The communications component will facilitate the exchange of information, as appropriate, for eligibility, anti-fraud and case management purposes. This component will route data among the SAWS consortia and related systems and will provide for growth to allow for subsequent communication with other welfare-related systems.

By providing standard interfaces, transactions and common access methods, the CalSERV middleware project will provide the capability for all counties to directly interface with other State systems. This level of access will:

- Reduce the time currently required to build interfaces to multiple systems
- Eliminate the need to change local interfaces in response to changes in other systems
- Eliminate the need for each county and/or State/federal agency to develop custom point-to-point interfaces in order to share information.

The first phase costs of developing the interfaces between CWS/CMS and ISAWS, CalWIN, and C-4 are assumed to be within the \$10M annual application maintenance budget. Developing the interface to CalSERV will also be done within this \$10M annual application maintenance budget. If this interfacing strategy is accepted, then plans will be submitted to allocate costs to the benefiting programs for development efforts in the target systems.

The CalSERV Project is currently in the planning phase. The IAPDU for CalSERV will be submitted for federal review after the State budget review process during SFY 2000/2001. It is anticipated that CWS/CMS use of CalSERV will be operational in 2005.

**b.(84) Title IV-D (Child Support Enforcement):** Describe how the interface with the Child Support Enforcement system is used to:

- Establish a child support case; and,
- Identify potential resources for the IV-E child.

*State Response:*

**CWS/CMS does not interlace with the title IV-D.**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, Attachment 1, "CWS/CMS External Interfaces"				

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank		Resolution Date:	
<b>ACF Comments</b>						
<p><b><u>Finding</u></b></p> <p>CWS/CMS does not have an interface for the automated exchange of data with any of the Title IV-D systems in California.</p> <p><b><u>Requirement</u></b></p> <p>The State must develop functionality that supports automated exchange of data between CWS/CMS and all of the Title IV-D systems operating in California. The functionality must support a standardized data exchange method and file format between CWS/CMS and all of the Title IV-D systems. Whenever the Statewide Child Support Enforcement System is implemented, CWS/CMS must be able to support an interface for automated data exchange between it and the new system.</p>						

State Draft Response Dated 2/1/00

Title IV-D Interface

The CWS/CMS was designed with the capability to interface with the statewide child support system. However, this capability can not be activated at the present time due to the fact that a statewide child support system is not yet operational. As an interim solution, all 58 counties currently use one of 16 child support systems to operate the Title IV-D program. The State believes it would require a significant amount of time and resources to have CWS/CMS interface with the 16 child support systems. Thus, it would not be "practicable" for CWS/CMS to interface with all 16 systems. Per Federal Action Transmittal Memo #ACF-OSS-05 the "interface requirement doesn't have to be met if the responding system is not capable of an exchange or where cost constraints make such an interface unfeasible." The State is committed to activate the CWS/CMS interface capability with a statewide child support system as soon as one becomes operational and available. In the interim, the State is exploring the possibility of using CalSERV as the vehicle for exchanging information with the Title IV-D Systems.

Title IV-D Interface

See Draft Response 1.(82) dated 11/01/00

**c.(85) Title XIX (Medicaid):** Describe how the interface is used to establish title XIX eligibility?

*State Response:*

**CWS/CMS does have a batch interface with the Medi-Cal system (see attachment "MEDS Design" to this email).**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, Attachment 1, "CWS/CMS External Interfaces"				

{PRIVATE } ACF ONLY	Conforms ? Y/C/N	N	Finding Summary Worksheet Completed? Yes or Blank	Resolution Date:
ACF Comments				
<p><b><u>Finding</u></b></p> <p>CWS/CMS does not have an interface for the automated exchange of data with the Title XIX system.</p> <p><b><u>Requirement</u></b></p> <p>The State must develop CWS/CMS functionality that supports automated exchange of data between</p>				

CWS/CMS and the Title XIX system. The State must identify in its response the process and duration required to develop and implement this interface.

State Draft Response Dated 2/1/00

Title XIX Interface

The CWS/CMS allows users to query and view different screens (read-only capability) from the Title XIX system known as the Medi-Cal Eligibility Determination System (MEDS). However, CWS/CMS and MEDS users can not update each other's systems. As above, the State is committed to exploring this interface capability to the extent necessary and practicable. The State will also explore the possibility of using CalSERV as a vehicle for exchanging information with CWS/CMS and MEDS for more details in the forthcoming February of 2000 CalSERV IAPD.

Title XIX Interface

See Draft Response 1.(82) dated 11/01/00

**d.(86) Child abuse and neglect data system or Central Registry: Is the Child Abuse and Neglect system integrated into the SACWIS system?**

IF **YES**, does the system produce the NCANDS report, including both the Summary Data Component and Detailed Case Data Component?

IF **NO**, describe how the interface between the Child Abuse and Neglect System will be used support the foster care and adoption process?

*State Response:*

**No, "The DCDC forms and mappings are being updated. California's data, based on our SACWIS application, will be able to provide statewide data for the last 6 months of 1998. The data should be available in early 1999"**

*Documentation References:*

{PRIVATE }Reference Source	Screen Identifier	Reminder Identifier	Document Identifier	Report Identifier
Appendix A, answer number VII.12.				

{PRIVATE } ACF ONLY	Conforms ?	Y	Finding Summary Worksheet Completed?	Resolution Date:
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	Y/C/N		Yes or Blank			
ACF Comments						

## B. Optional Interfaces

Goal: To support the effective and efficient administration of the processes necessary to transfer information between SACWIS and other automated systems.

**2.(87) Does the automated system provide additional interfaces with automated systems within the State, such as:**

- **State Central Registry on Child Abuse and Neglect**
- **Social Security Administration for title II and SSI information**
- **State financial system**
- **State licensing systems**
- **Vital Statistics**
- **Court system**
- **Juvenile Justice**
- **Mental health / retardation**
- **State Department of Education**

*State Response:*

System	No	Yes	Interface Title
State Central Registry on Child Abuse and Neglect		✓	
Social Security Administration for title II and SSI information	✓		
State financial system	✓		
State licensing systems		✓	LIS Fingerprint
Vital Statistics	✓		
Court system		✓	JJIS or JNET
Juvenile Justice	✓		
Mental health / retardation	✓		
State Department of Education	✓		

*Documentation References:*

<b>{PRIVATE }State Selected Option</b>	<b>YES:</b>		<b>NO:</b>	<b><u>X</u></b>
<b>Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>
Appendix A, Attachment 1, "CWS/CMS External Interfaces"				

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>	<b>Y</b>	<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**{PRIVATE }B. IX: Quality Assurance**

This function provides for the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards.

**1.(88) Which of the following Quality Assurance features does the system incorporate?**

{PRIVATE }		Yes	No
·	Does the automated system provide appropriate edits, range checks and prompts for critical <sup>2</sup> or incomplete data?	✓	
·	Does the automated system incorporate procedures for appropriate supervisory oversight and authorization related to case file review?	✓	
·	Does the automated system allow for random sampling, based on variable characteristics, for audit purposes?	✓	
·	Is the system capable of recording and tracking the results of an audit, as well as any necessary corrective actions identified?		✓
·	Does the automated system facilitate the establishment and tracking of outcome measures by program managers, and support trend analysis of results?	✓	
·	Does the automated system generate summary management reports on client demographics and needs?	✓	
·	Does the automated system produce reports on the length of time in foster care categorized by identified service needs and services provided?	✓	
·	Does the automated system track referrals and all required time-sensitive actions for title IV-B and IV-E related cases, such as initial and ongoing Administrative Case Reviews, investigations, and time sensitive treatment and service plans?	✓	
·	At the point a required action is delayed beyond a Federal, State, or court mandated time frame, does the system Reminder line, supervisory and management staff, when appropriate?	✓	

<sup>2</sup> Critical data are defined as anything required for State or Federal reporting or audit (e.g., AFCARS data, child and family services and IV-E eligibility reviews).



{PRIVATE }		Yes	No
.	In cases where a reviewer enters information on an apparent problem of abuse or neglect in a foster home, does the automated system automatically request an investigation and track the case to ensure its completion?		✓
.	Does the automated system maintain and link variable and static data used to determine eligibility for title IV-E payments?		✓
.	Does the automated system also establish data entity relationships between providers, clients, and payments?	✓	
.	Does the automated system (or separate financial system) account for appropriate financial reconciliation of payments including overpayments and recovery by occurrence?	✓	
.	Does the automated system contain all data necessary to effectively manage a case?	✓	
.	Is the automated system able to track a child across multiple occurrences and/or cases?	✓	
.	Does the quality assurance function support the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards?	✓	
.	Does the system capture and transmit all known cases in the AFCARS report, including cases with incomplete information or untimely actions?	✓	

*State Response:*

*Documentation References:*

<b>{PRIVATE }Reference Source</b>	<b>Screen Identifier</b>	<b>Reminder Identifier</b>	<b>Document Identifier</b>	<b>Report Identifier</b>

<b>{PRIVATE } ACF ONLY</b>	<b>Conforms ? Y/C/N</b>		<b>Finding Summary Worksheet Completed? Yes or Blank</b>		<b>Resolution Date:</b>	
<b>ACF Comments</b>						

**2.(89) Please describe other quality assurance functions or related features supported by SACWIS.**

*State Response:*

{PRIVATE }B. X: Other Functionality

1.(90) Does the automated system provide additional functionality not described above?

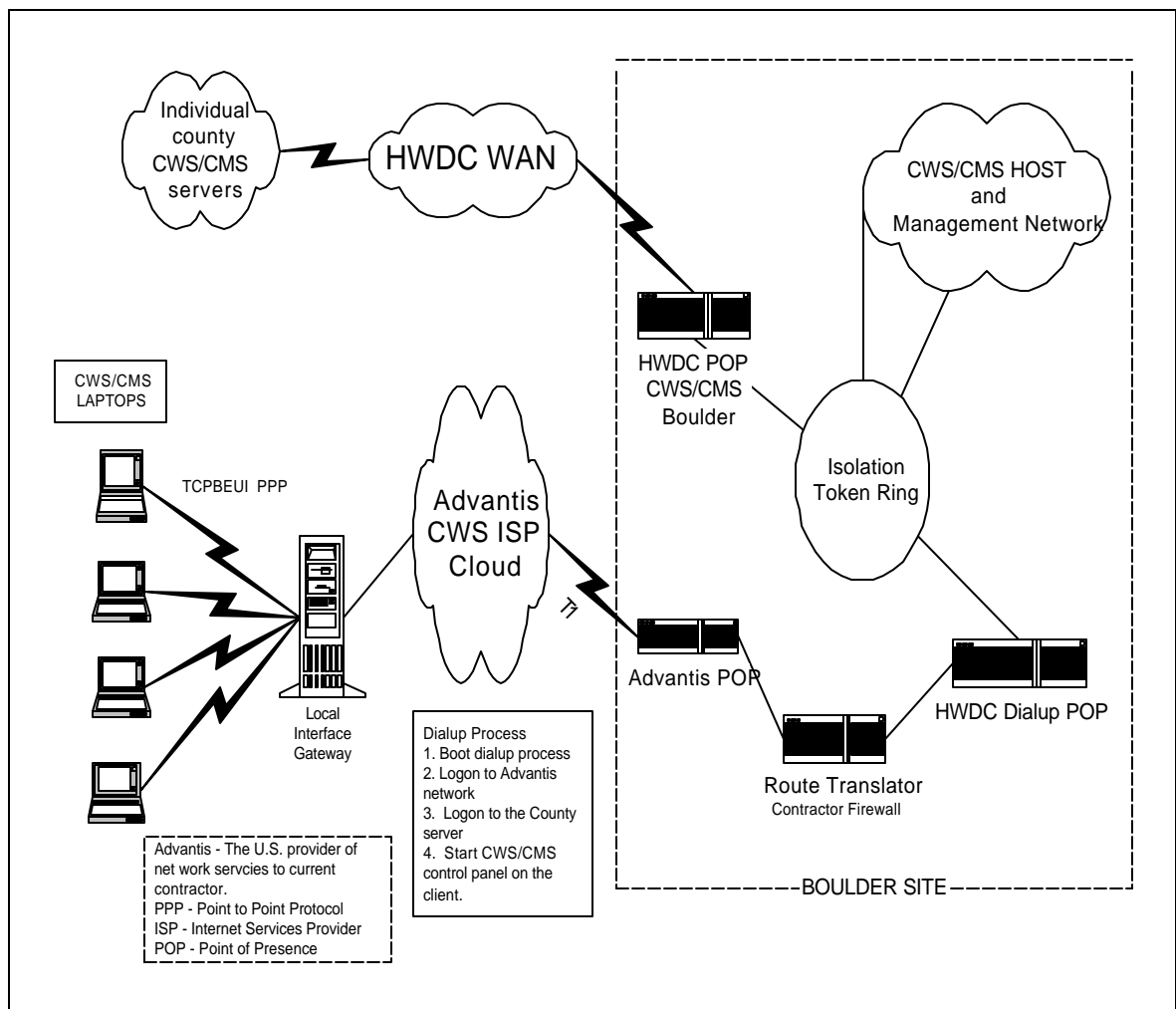
State Response:

**Spanish Language Output**

CWS/CMS prints out a number of documents in Spanish. Please see the System Document Index for a complete listing of these documents.

**Dial-in capability**

In addition to these three zones of fixed connectivity, an additional Dial-in Access System to connect laptop computers through a contracted dial-up gateway system is employed. Figure 3 - 5 depicts this connectivity and associated protocols.



### **Bulletins**

Bulletins are messages that are distributed statewide through a shared electronic bulletin board. The users may look at the bulletin board to receive emergency information, policy notices, information pertaining to schedule system outages, or other alerts that must be distributed statewide.

### **Manage Declaration of Due Diligence**

If the parents, legal guardians, or grandparents of a case child cannot be located for the purpose of notifying them of a scheduled hearing, a declaration of due diligence document must be created. This document must be submitted in legal format to Juvenile Court to advise the court of the kinds of efforts made to locate these individuals. The search efforts made, the date of search, and the search results received may be recorded in the system.

### **Manage Attorney**

The Manage Attorney capability allows entry and maintenance of basic information about specific attorneys. This basic information includes address, phone number, the County they are associated with, and to indicate if the attorney represents the Child Welfare Agency. Additionally, for each attorney, the start date and the end date for assignments to clients or substitute care providers is recorded.

### **Manage CWS Internal Organization**

This process encompasses those activities performed to establish and maintain the relevant organizational information about the facilities managed by a CWS agency. This may include state and county operated facilities. The CWS internal organizational structure includes CWS Offices and Assignment Units.

A CWS Office is a formally designated location where Child Welfare Agency employees work. Each county has one or more offices out of which Child Welfare Agency employees do business. In addition, a CWS Office may have one or more Assignment Units reporting to it. The address, phone numbers, geographical region in which the office operates, and other relevant contact information about the office is recorded and maintained.

An Assignment Unit is the grouping of one or more staff who report to one supervisor for the purposes of assigning cases and referrals. Staff in the Assignment Unit usually work in the same area of an office and perform similar work. Information recorded about an Assignment Unit includes start date, unit name, functional specialties, name of unit supervisor, and the caseloads handled by the unit. An Assignment Unit becomes inactive by specifying an end date. This may occur when an office reorganizes, a unit is moved to another office, or a unit is inactive for some other reason.

This process is also responsible for the maintenance of special projects. A special project may be established throughout the State to test potential CWS policies or practices. Information that can be recorded about each special project includes the name, start date, county, and a description. Placement homes and cases can be associated with special projects in which they participate.

### **Manage External Organizations**

This process includes the maintenance of organizations with which CWS agencies interact that are not related to placement facilities. These include Law Enforcement agencies, Juvenile Courts, Indian Tribal organizations, education providers, ICPC Administrators, and other government offices such as the Department of Justice. The information captured for each external organization is fundamental contact information including the name, phone number, and address of the organization or contact person. Additionally, for the Indian Tribal organizations, the Indian tribes that are represented by the organization are identified.

### **Manage Work Assignment Information**

An assignment can be transferred from one staff person through a caseload to another staff person. To accommodate the transferring of assignments, each office will contain one unit designated as the "Assignment Desk Unit." Additionally, each unit will contain one caseload designated as the "In-Box" caseload. The transferring of assignments will adhere to the following guidelines:

- For primary assignment transfers within a unit, the staff person with the appropriate authority can transfer the assignment to any caseload in the unit.
- For primary assignment transfers between units within the same CWS Office or between CWS Offices, any caseload can receive the transfer, but the default is the In-Box caseload.
- For primary assignment transfers between counties, the receiving county's In-box caseload of the Assignment Desk Unit is the default destination and cannot be overridden.

### **Maintain Audit Information**

This process is intended to meet the social worker's need to retain the necessary audit trail of case information. For each entity in the CWS/CMS database the following are maintained: the creator, creation date and time, who last modified the information, and the date and time it was modified. The social worker can request to view this audit information for a selected field on a screen. A print function is also available which will allow the social worker to select and print entire screens of data.

Additionally, all of the application function areas maintain a significant amount of historical information including documents that are permanently attached to a case or referral. All of these functions along with the ability to print reports through the life of a referral or case will support a variety of audit operational and processing requirements.

### **Designate Limited Access**

This process encompasses those activities that are performed to mark a case or referral as requiring limited access. Situations in which this may be necessary include cases that involve departmental staff or high profile public figures, or cases which have been ordered by a court to be sensitive cases. Any other cases that require special restricted access such as adoption and sealed cases can also be identified.

### **External Documents**

The CWS/CMS provides the capability for word processing documents created outside the application to be attached to a case or referral.

### **Pre-Defined Program Management Reports**

Program Management data is stored according to a schedule defined during the Business Systems Design (BSD) phase of this project. This schedule is determined by the production frequency, such as daily or monthly, of each report. Similarly, the distribution of each report, as defined during BSD, may differ. The types of distribution include state, county, region, office, unit, or caseload. "Production" of a report will involve the preparation of a report so that it is available on the host, ready to print upon demand. Once this data has been extracted and saved on the host computer, designated users will log on and access this library to select individual reports to generate and print. All reports will thus be printed on demand at the laser printer attached to the user's Local Area Network (LAN). The data sets that populate the reports will be retained for online access for three years, and subsequently off-line for ten years.

### **Ad Hoc Reporting**

Ad hoc reporting will be performed against the production database, which means that all the data on the CWS/CMS database will be utilized as the source for ad hoc reports. Processing of ad hoc reports will occur during normal working hours or during off-shift hours based upon the size of the report and the amount of CWS/CMS application activity. The application provides users with the ability to emulate a 3270 terminal session on the external systems supporting an interface. As a result, it is possible to perform ad hoc database queries directly from each County

### **Health and Education Passport**

Health and Education Passport allows for the capture of client health and education data necessary for the generation of the Passport document, a tool for workers, foster care providers and medical providers.

The client medical information includes a history of immunizations (type, date received, next due date), medications and prescribing physicians. Behavioral, emotional, and physical conditions of the client can also be recorded along with the name of who observed or diagnosed the conditions.

The client educational information includes the client's school enrollment history, chronological educational record summary and location details identifying where detailed education record information outside of the CWS/CMS can be found.

**{PRIVATE }B. XI: Self Assessment**

This part of the SACWIS Assessment Review Questionnaire provides the State's self-assessment of the SACWIS system, especially in terms of efficiency, effectiveness, and economy.

*State Response:*

The State's Department of Information Technology (DOIT) is working on a Post-Implementation Evaluation Review (PIER). This document will be made available to the ACF upon availability.

{PRIVATE }ACF General Comments & Other Issues
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Items Requiring a Response on the part of the State:
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### Finding

The Review Team found, and the State confirmed, that there is no state requirement for county staff to use the system. As a result, the system is not utilized as it was designed to be used, nor is it used uniformly throughout the State.

### Requirement

This is a critical issue that must be resolved in order for the system to be considered SACWIS compliant. CWS/CMS must be used fully and uniformly throughout the State. Staff must use the system as it is designed to be used, and in a manner appropriate for their job functions.

### Finding

The Review team saw examples of staff using templates outside of CWS/CMS, some of which also exist within CWS/CMS, to generate forms and documents.

### Requirement

The State must eliminate staff's ability to access the duplicate templates that exist outside of CWS/CMS. We recommend that all standard letters, forms, documents, etc. be integrated into CWS/CMS. Before taking the step of eliminating access to the duplicate templates, we strongly recommend that the State provide staff with training on how to generate documents using CWS/CMS.

### Finding

As identified in other sections of this report, the Review Team found staff in all visited counties use a significant number of pre-printed paper documents and forms which are generated outside of CWS/CMS. These pre-printed paper documents and forms are stored in the offices in hard copy case records. Also, counties' staff were not always clear as to whether or not the electronic or hard copy case record was the agency's official case record.

Additionally, the Review Team saw staff in all visited counties using a number of external tracking logs to keep track of cases and case activities.

### Requirement

The State must undertake effective actions necessary to eliminate the use of all but legally required pre-printed documents and forms. Based on observations in other states, we believe the extreme use of pre-printed paper documents and forms results in significant amounts of time-consuming duplicate data recording in both CWS/CMS and on the redundant paper forms. Additionally, it provides many opportunities for inconsistent data to reside in both the automated system and hard copy case record. Furthermore, it is highly possible for data to reside in either the automated system or hard copy case record, but not in both. We also find the accepted, if not encouraged or expected, use of pre-printed documents and forms undermines the roll of CWS/CMS, and diminishes its importance as not only an



important tool to assist workers in supporting child welfare services, but also the official repository of all foster care, adoption and child welfare services individual and case data.

The State should also identify for what purposes staff are constructing and maintaining tracking logs outside of CWS/CMS, and evaluate how the system could be modified to provide this type of functionality

### **Finding**

Based on the Review Team's observations in the visited counties, most users have significant training needs that must be addressed if they are to use the system to its fullest potential. Besides not understanding the available functionality, there was a number of staff that complained that data was lost after it was entered on templates. They did not understand that data entered directly into the templates would not be captured and maintained by the system. They further were not aware that entering data into the system just one time would result in templates being pre-populated with the information.

### **Requirement**

The State must provide sufficient training to staff to enable them to use CWS/CMS to the fullest extent possible.

State Draft Response Dated 2/1/00

The four findings and requirements in Section B.XI, "Self Assessment", all address federal concerns regarding utilization of CWS/CMS. The first notes the lack of a State requirement for county use, the second and third cite county use of templates and paper forms and documents outside the system, and the fourth cites the need for staff training if the system is to be properly used.

The CDSS is fully committed to statewide utilization of CWS/CMS. State statute mandates the development and implementation of CWS/CMS, and although that statute does not specifically mandate county use of the system, it has always been the intent that CWS/CMS become the standard, statewide operating system for child welfare services in California. The CWS/CMS has already supplanted the State's Foster Care Information System and several major county systems, including the Social Services Reporting System, Los Angeles County's Children's Information System and San Bernardino County's Child Welfare Services System. To ensure that CWS/CMS is both accepted and fully utilized by CWS staff, the State and counties continue to provide more and improved CWS/CMS training, and to support enhancements to the current CWS/CMS application. There are standing workgroups composed of state and county staff whose mission it is to continually improve the usability of the application and better support the work to be done. The CDSS has repeatedly cited improvements in court functionality, case plan functionality and the health and education passport functionality as examples of changes that have successfully increased system utilization by better meeting the needs of users.

This on-going improvement process is further supported by a focus on training. Prior to implementation of CWS/CMS, intensive preparations were made with each county to assess workflow and facilitate a smooth integration. A County Operations Analysis Methodology (COAM) was among the first intensive

efforts to maximize participation and ownership of automation relative to local business tasks. Extensive classroom training also preceded the implementation of CWS/CMS across the State. Since then a multi-faceted approach has been implemented to provide individualized training. The CWS/CMS statewide curriculum was developed with input from all regions of the State. New users are provided 40 hours of basic training. Intermediate/Advanced training provides 16 hours on the more difficult tasks of CWS/CMS. Management/Supervisory Training provides 16 hours of training on supervisory approval processes and program management reports. ATM Staff Training provides 24 hours of training for staff who function as support personnel. Staff responsible for database management were further allocated 40 hours of training. Supplementing these efforts, the Scenario Manager Training Tool and Computer Based Training (CBT) module have been updated for distribution.

All workers, then, have available to them a computer-based training tool that provides immediate and user-invoked training when needed. For FY 1999-00, over \$10 million was budgeted for CWS/CMS training. Ultimately, the counties are responsible for managing the scheduling and selection of specific training candidates. Some counties developed their own training resources while others relied on vendor-provided training. Subsequent refresher training and new worker training has been provided on an annual basis.

The CWS/CMS application is the product of a collaboration by county, state and vendor staff, and the primary goal of that collaboration was the creation of a case management system that would be used because it provides extensive payoffs to the system users. Those incentives already include many automated functions, case reminders, a relational database, hardcopy documents for field use, and an easy-to-use documentation device. Nevertheless, it is unrealistic to assume that every one of the CWS/CMS users would immediately embrace the application as an essential tool for support of CWS. It should also be noted that none of the local systems being supplanted possessed the scope or magnitude of CWS/CMS, and that counties using automation were also using a variety of manual, paper-based systems. Further, the CWS/CMS Child Welfare Service files will continue to require a hard copy component for the foreseeable future. The need for storage of signed documents such as case plans, court documents, medical evaluations, assessments, birth certificates, and AAP agreements make the continued use of some hard copy documentation essential to business operations.

Regarding the use of county specific forms, it must be noted that pre-existing to CWS/CMS there were 58 diverse county cultures with many pre-existing forms, templates, and procedures tailored to individual county purposes. Many standard templates are available to workers for a multitude of purposes statewide. Some are available on-line or are currently planned for integration in CWS/CMS. These populating and non-populating templates and forms are for general use as well as specific functions (e.g. Court Reports). In other states where child welfare offices are all state administered, such transitions might be easier to implement.

In the instance of Court Reports, many local judges were particular about the exact format required for acceptable submission. Working with local Courts and the State Judicial Council, several alternative

formats were developed. These changes have greatly increased their use by counties statewide. In addressing this multi-faceted issue, formal change requests have been drafted and are currently being analyzed to creatively facilitate improvements. These high priority changes may provide counties with more than 100 county specific templates that can be populated using existing CMS data elements. This type of solution both encourages full utilization and promotes realistic adaptations for divergent agencies, allowing them to utilize agency specific templates. The State asserts that full compliance and utilization of this system will best be facilitated by developing a system that serves its users rather than by "eliminating staff's ability to access the duplicative templates." Again, the State and counties continue to promote full system utilization using multiple means and venues. These solutions encourage full utilization by integrating existing agency forms and practices with existing CMS data elements. These realistic adaptations encourage full utilization and are respectful of divergent agency cultures and needs.

State Draft Response Dated 11/01/00

The State enacted legislation in July 2000 that addresses the State and Federal goal of full utilization. Both budgetary and statutory steps have been taken to assure full utilization of the CWS/CMS. The first system changes to support the full utilization policy are included in Release 4.1.2, which was originally scheduled for release in late September 2000. While the majority of counties use CWS/CMS for their new and existing cases, the new policy requires complete application usage on all new cases and for existing cases as they come up for their next review. All AFCARS-related data will be completed as well. CDSS has worked collaboratively with members from the County Welfare Directors Association and with labor groups representing social workers in reaching an agreement in the definition of full utilization and all functional areas within the system that are to be utilized. CDSS will continue to provide leadership on CWS/CMS by encouraging counties to use CWS/CMS. One way of doing this is through regular meetings with state and county managers and the second is full utilization.

As previously referenced in Intake Management, the State and ACF agree that some paper is necessary, due to the varying business requirements of individual counties, for intake, case contact and assignment of emergency investigations, the State also agrees that CWS/CMS generated documents should be the "official case record". The new case plan has been re-designed to populate many of the requisite documents through with standardized templates in CWS/CMS.

Given the above factors, the State continues to promote the use of CWS/CMS and ensure that information is routinely entered into CWS/CMS through improved continuous, and refresher training. Prior evaluations of training needs and assessments have resulted in the following training enhancements: New Users training, 40 hours, focuses on the basics of the CWS/CMS application, and an overview of basic computer components. This 40-hour training session demonstrates to the users how to develop a case plan and identify the specific notebook(s) necessary. The redesigned case plan consists of one notebook with seven pages; ID, Case Plan Participants, Contributing Factors, Strengths, Service Objectives, Planned Client Services, and Case Management Services. The Case Plan functionality enables workers to generate detailed assessments of the needs of each client, strengths, contributing

factors, services objects and time frames. Workers are also able to identify the person or resource responsible for meeting the objective. Newly redesigned functionality will streamline the creation of these Case Plans with enhanced layout and multi-selection choices. An additional one-hour training is provided to all staff on the use of case assignment and how to utilize CWS/CMS for case assignments.

Advanced training, 24 hours, focuses on the more difficult tasks in CWS/CMS related to specific case plan goals, objectives and outcomes; Supervisor/Manager training, 32 hours, focuses on the supervisory processes, approvals and management reports; Advanced Trainer/Mentor training, 40 hours, focuses on all aspects of CWS/CMS to enable users to assist other users; and the Database training focuses on extraction and interpretation of caseload data.

The Supervisor/Manager training provides instruction on the Caseload Notebook. This Caseload training module teaches the user how to assign cases; change primary/secondary assignment for a case; track case assignment history; transfer case assignment; and reassign a caseload. These are all areas that are a part of the standard CWS/CMS training curriculum, but many enhancements have been made to ensure more ease of use for all users.

As the State continues to get feedback from system users on the use of CWS/CMS adjustments will be made that reflect the most efficient use of resources to promote the continued use of CWS/CMS and full utilization as a tool to assist social workers perform and record case plans and all aspects of their duties in a consistent manner.

Technical Assistance for the State's Consideration:

**Observations and Recommendations**

- ☒ We strongly recommend that the State re-evaluate the need for staff to sign paper documents to authorize them. There appeared to be a number of examples of this. The State may be able to avoid some handwritten signatures on a paper documents and simplify the process through the use of the automated system. The State should look at its business processes to see what documents actually require signatures, then look at technology to maintain those documents and signatures electronically.
- ☒ Some staff indicated that they were dissatisfied with the help desk function. They noted that all calls to the Help Desk had to go through a "ticket" process, even if the call was a single question. Staff did not understand the need for recording calls via the "ticket" process nor why it took so long to answer questions.
- ☒ Staff indicated that they did not believe that changes to the application were thoroughly tested. Staff provided examples of simple editing problems that often accompanied new versions of the software. The State should ensure that all application changes are thoroughly tested before the production software is updated.
- ☒ The State should continue its on-going efforts to provide the kinds of reports that are most beneficial to the entire staff. Staff in the visited counties indicated that the system does not meet their reporting requirements.